

No. RW/NH-37011/9/98-DOI

Dated, the 10th June, 1998

To

All Chief Engineers of State PWDs (dealing with National Highways and Centrally Sponsored Schemes); Chairman, National Highways Authority of India; Director General, Central Public Works Department; Director General Border Roads; Secretary, Indian Roads Congress.

Subject : Prequalification of Contractors for National Highway Works and Centrally Sponsored Schemes

Please find enclosed herewith a copy of document for prequalification of contractors for adoption in respect of National Highway works and Centrally Sponsored Schemes under local competitive bidding. This document supersedes all other documents for prequalification of contractors issued by the Ministry earlier.

2. Guidelines regarding procedure to be adopted for prequalification of contractors as contained in the Ministry's letter No. RW/NH-11024/1/94-DOI dated 15th June, 1994 will remain unchanged.
3. It is requested that the contents of this letter may be brought to the notice of all concerned for compliance.

[Enclosure to Ministry's Circular No. RW/NH-37011/9/98-DO.I dated the 10th June, 1998]

STANDARD PREQUALIFICATION DOCUMENTS

DRAFT ADVERTISEMENT FOR ROAD PROJECT NATIONAL HIGHWAY/CENTRALLY SPONSORED PROJECT

STATE OF _____

CONTRACTOR PREQUALIFICATION

Bids for contractor prequalification are invited for a project which includes within the State of _____, the construction/reconstruction/rehabilitation of about _____ km of road work on _____ in the State of _____. The project contracts include the following principal work items:

Earth-work:	_____ Cu.m.
Pavement Structure Sub-base	_____ Cu.m. of _____
Base Course	_____ Cu.m. of _____
Binder Course	_____ tonnes of _____
Surface	_____ tonnes of _____
Cross Drainage Works:	
RC Pipe	_____ Lin. m. _____
RC Slab Culvert	_____ Lin. m. _____
Structure etc.	_____ Lin. m. _____
Time for completion	_____ Months. _____

Contractors registered with the State Public Works Department/Central Government Departments who have experience in the construction of similar works and consider themselves capable of constructing the project works should obtain prequalification documents from the address given below on any working day between the hours of ____ & _____ on payment of Rs. _____ /-* (Rupees _____ only) in cash or Demand Draft. The Demand Draft is to be made in favour of _____. No Document will be issued after _____. The completed prequalification document and questionnaire should be returned to the employer/engineers at the address given below, on or before close of business on _____. The employer/engineer reserves the right to deny prequalification to any applicant without assigning any reason. Only firms/joint ventures prequalified under this procedure will be invited to bid for project contracts.

Name

Designation

Address _____

* May be fixed as Rs.2000/- to Rs.4000/- depending on size of work.

DRAFT ADVERTISEMENT FOR ROAD PROJECT NATIONAL HIGHWAY/CENTRALLY SPONSORED PROJECT

STATE OF _____

CONTRACTOR PREQUALIFICATION

Bids for contractor prequalification are invited for a project which includes within the State of _____, the construction/reconstruction/rehabilitation of about _____ metres of bridge work on _____ in the State of _____.

The project contracts include the following principal work items:

Length of Bridges	_____ (meter)
Type of superstructure	_____
Type of substructure	_____
Type of foundations	_____
Depth of foundation	_____ (meter)
Time for completion	_____ (months)

Contractors registered with the State Public Works Departments/Central Government Departments who have experience in the construction of similar works and consider themselves capable of constructing the project works should obtain prequalification documents from the address given below on any working day between the hours of __ & _____ on payment of Rs. _____/-* (Rupees _____ only) in cash or Demand Draft. The Demand Draft is to be made in favour of _____. No Document will be issued after _____. The completed prequalification document and questionnaire should be returned to the employer/engineers at the address given below, on or before close of business on _____. The employer/engineer reserves the right to deny prequalification to any applicant without assigning any reason. Only firms/joint ventures prequalified under this procedure will be invited to bid for project contracts.

Name

Designation

Address _____

* May be fixed as Rs.2000/- to Rs.4000/- depending on size of work.

INVITATION FOR PREQUALIFICATION

NAME OF WORK:

NH No./NAME OF ROAD:

STATE:

1.1. INTRODUCTION

Bids for contract of prequalification are invited for a project which includes within the State of _____, the Construction/Reconstruction/Rehabilitation of about _____ km of Road work _____ meter of bridge work of National Highway No. _____

The Highway Development Scheme have been sub-divided into contract sub-sections each one of which will form a single contract. The details of contract sub-section together with their estimated costs are given in Section 4 hereunder. General contractors backed up by specialist sub-contractors or alternatively, Joint Ventures or Consortia, who wish to bid for one or more of these contracts should apply for Pre-qualification in the manner set out in this document. The Tender Documents will be issued subsequently only to those parties selected by the Employer/Engineer as having necessary qualification/suitability to perform the contract(s) satisfactorily.

1.2. EMPLOYER

Name

(Head of Department)

(Department)

(State)

Address:

Telex:

Telephone:

1.3. ENGINEER

Name:
Address:
Telex:
Telephone:

(Entrusted with execution of work)

1.4. NAME OF WORK

(here all the contract sub-section with their nomenclature of improvement may be issued)

Contract No.	Description*	Approx. length (km)	Estimated Cost (Rs. million)
Contract-I	Widening to 4-lanes in Section _____ to _____ (Km. _____ to Km. _____) of National Highway No. _____.		
Contract-II	Strengthening existing 2-lanes pavement in Section _____ to _____ (Km. _____ to Km. _____) of National Highway No. _____		
Contract-III	Construction of major/minor bridge across river _____ with its approaches on National Highway No. _____ etc.		

2. INSTRUCTIONS TO APPLICANTS

- 2.1. The Employer intends to prequalify contractors for the following (works) (contracts) under the project: _____ [general description of the Project]. (Applications may be made to prequalify for one or more of the above contracts). It is expected that Invitations to Bid will be made in _____ [month & year].

NAME OF WORK: (here all the contract sub-section with their nomenclature of improvement may be listed)

Contract No.	Description*	Approx. length (km)	Estd. Cost (Rs million)
Contract I	Widening to 4 lanes in Section _____ to _____ (km. _____ to km. _____) of National Highway No. _____		
Contract II	Strengthening existing 2 lane pavement in Section _____ to _____ (km _____ to km _____) of National Highway No. _____		
Contract III	Construction of major/minor bridge across river _____ with its approaches on National Highway No. _____ etc.		

- 2.2. Prequalification is open to Indian firms and voluntarily formed joint ventures of Indian firms.

- 2.3. General information on the climate, hydrology; topography, access to site, transportation and communications facilities, medical facilities, project layout, expected construction period, facilities, and services provided by the Employer, and _____ [other relevant data] is attached on a separate sheet. The contract will be a (unit price) (lump sum) (turnkey) contract.

2.4. SALIENT INFORMATION OF CONDITIONS OF CONTRACTS UNDER LOCAL COMPETITIVE BIDDING

2.4.1. The general conditions of contract will be as per standard document being followed for similar works on National Highways or centrally sponsored roads by the Employer/Engineer and duly modified as needed for local conditions.

2.4.2. Earnest money of approximately 2 per cent of the estimated cost will be required to be furnished by each bidder at the time of submission of bids and in the case of successful bidders, a performance security of 10 per cent of the bid price will be required to be furnished.

2.4.3. An interest free mobilisation advance amounting to 10 per cent of the Contract Price may be paid for procurement of equipment against Bank Guarantee. The executing agency may also prescribe special requirements of essential equipment. Running payment to the Contractor will be made monthly against, (i) the permanent works executed and/or (ii) 75 per cent of the value of the non-perishable construction material brought to the site to a reasonable extent for incorporation in the permanent works, subject to attaining the specified qualifying amount.

2.4.4. Contractor shall not sublet any part of the work without prior written consent of the Employer/Engineer. In no case, contractor will be permitted to sublet more than 50 per cent (fifty per cent) of the value of works, including those to specialised subcontractors.

2.4.5. The contract will allow for price variation of labour, material and POL.

2.4.6. The bids will be in prescribed form for item rate/lumpsum contract. The contractor will be/will not be required to prepare detailed design. The contractors will be/will not be permitted to quote on the basis of their alternative design.

2.4.7. All designs and works shall conform to the specifications, standards and codes of Indian Roads Congress, Specifications of Ministry of Surface Transport (Roads Wing), and other relevant Indian Standards or equivalent standards mentioned in the contract documents or approved by the Engineer.

2.5. SUBMISSION OF APPLICATIONS

2.5.1. Submission of applications for prequalification must be received in sealed envelopes, which must be either delivered by hand or by registered mail, at _____ [address] not later than _____ hours on _____ [date] and be clearly marked "Application to Prequalify for _____ [names of the Project and contract(s), any applicable number(s)]".

2.5.2. Name & mailing address of the Applicant shall be clearly marked on the envelope

2.5.3. All the information requested for prequalification shall be answered in the ENGLISH language. Where information is provided in another language this shall be accompanied by a translation of its pertinent parts, into ENGLISH. This translation will govern and be used for interpreting the information. Submission of firms applying on their own may be written in local language.

2.5.4. Failure to provide information which is essential to evaluate the Applicant's qualifications, or to provide timely clarification or substantiation of the information supplied may result in disqualification of the Applicant.

2.5.5. Prospective applicants may request clarification of the project requirements and the criteria for qualification. Any clarification given by the Employer will be forwarded to all those who have purchased the prequalification documents. No request for clarification will be considered after _____ [given date 2 weeks before the closing date for receiving prequalification bids].

The following paragraph should only be used if a clarification meeting is planned. Such meetings should normally be called only for very large and/or complex contracts.

2.5.6. A clarification meeting will be held at _____ [time, date and place] at which prospective applicants may request clarification of the Project requirements and the criteria for qualification.

Annexure-1**Minimum key personnel for the project**

Sl. No.	Personnel	Qualification	LOT size			
			Upto Rs. 50 Million	Rs. 51-200 Million	Rs. 201-500 Million	Rs. 501-1000 Million & above
1.	Project Manager	B.E. Civil + 10 Years Exp.	1	1 No.	1 No.	1 No.
2.	Site Engineer	B.E. Civil + 3 Years Exp.	1	2 No.	4 Nos.	6 Nos.
3.	Plant Engineer	B.E. Mech. + 3 Years Exp. Or Dip. Mech. + 7 Years Exp.	1	1 No.	1 No.	2 Nos.
4.	Quantity Surveyor	B.E. Civil + 7 Years Exp. Or Dip. Civil + 7 Years Exp.	1	1 No.	1 No.	2 Nos.
5.	Soil & Material Engineer	B.E. Civil + 7 Years Exp. Or Dip. Civil + 7 Years Exp.	1	1 No.	1 No.	1 No.
	Total		5 Nos.	6 Nos.	8 Nos.	12 Nos.

Annexure-II**List of Plant & Equipment to be Deployed on Contract Work**

Sl. No.	Type of Equipment	Maximum Age as on	Upto Rs. 50 million	Rs. 51-200 Million	Rs. 201-500 Million	Rs. 501-1000 Million & above
1.	Tipper Trucks	5-7	6	10	15	20
2.	Motor Grader	5	2	2	3	4
3.	Dozer	5	1	1	1	2
4.	Front end Loader	5	2	2	2	4
5.	Smooth Wheeled Roller	5	2	2	3	4
6.	Vibratory Roller	5	2	2	2	3
7.	Hot Mix Plant with Electronic Controls (Minimum 8200 TPH Capacity)	5	1	1	1	2
8.	Paver Finisher with Electronic Sensor	5	1	1	1	2
9.	Water Tanker	5	3	3	4	5
10.	Bitumen Sprayer	5-7	1	1	1	2
11.	Tandem Roller	5	1	1	1	1
12.	Concrete Mixers with Integral Weigh Batching facility	5	2	2	1	2
13.	Concrete Batching and Mixing Plant (Minimum Capacity - 15 m ³ /hour)	5	-	-	1	1
14.	Concrete paver capable of paving 7.5m width in one single pass including all accessories. Such as automatic dowel bar insertor, integral vibratory system and electronic sensors ancillary equipment for applying curing compound, joint cutting etc.	5	-	-	-	1
15.	Concrete Batching and Mixing plant with automatic control (minimum 100 cum/hour)	5	-	-	-	1
	Total		24	28	36	54

2.6. QUALIFICATION CRITERIA

2.6.1. Prequalification will be based on meeting all the following minimum pass/fail criteria regarding the Applicant's general and particular experience, personnel and equipment capabilities, and financial position, as demonstrated by the Applicant's responses in the forms attached to the Letter of Application (specified requirements for joint ventures are given under paras 2.7.1 and 2.7.2 below). Subcontractors' experience and resources shall not be taken into account in determining the Applicant's compliance with the qualifying criteria.

To qualify for more than one contract, the applicant must demonstrate having experience and resources sufficient to meet the aggregate of the qualification criteria for each contract given in paragraphs 2.6.3 and 2.6.4 below.

2.6.2. ESCALATION

Following enhancement factors will be used for the costs of works executed and the financial figures to a common base value for works completed in India.

Year before	Multiplying factor
One	1.10
Two	1.21
Three	1.33
Four	1.46
Five	1.61

In case the financial figures and value of completed works are in foreign currency, current market exchange rate will be applied for the purpose of conversion of foreign currency into Indian rupees. (for the purpose of this prequalification, 1 US\$ = Indian Rs. ____ *).

2.6.3. General Experience

The Applicant shall meet the following minimum criteria:

- (a) average annual turnover (defined as billing for works in progress and completed) over the last five years of 40 per cent of the value of contract/contracts applied for.
- (b) successful experience as prime contractor in completing at least one contract of highway (road and/or bridge works)/ airport contract of at least 40 per cent of the value of proposed contract within the last six years; this experience should also include the following minimum quantities of work executed in any one year:
 - * Earthwork in both excavation & embankment (combined quantities) - Cu.m.
 - * Bituminous work (DBM/AC/BC) - Cu.m.
 - * Bridge works:
 - Prestressed/RCC - Cu.m.
 - Well/Pile Foundation - m.

(The list is suggestive and may be modified/augmented on the basis of individual project requirement).

2.6.4. Personnel Capabilities

The Applicant must have suitably qualified personnel to fill the following positions. The applicant will supply information on a prime candidate and an alternate for each position, both of whom should meet the experience requirements specified below:

Position	Total experience (Years)	In similar works (Years)	As manager of similar works (Years) ³
Project manager			
Other positions			

(Suggested lists is given in *Annexure-I*)

*To be filled in by Employer before issue of the document.

Application will indicate actual figures of costs and amounts in the Schedule without accounting for the above mentioned factors.

2.6.5. The Applicant should own or should have assured ownership to the following key items of equipment, in full working order, and must demonstrate that, based on known commitments, they will be available for use in the proposed contract.

S.No	Equipment type and characteristics	Minimum number required
(1)		
(2)		
(3)		

(Suggested list given in *Annexure-II*)

2.6.6. Financial Position

The Applicant should demonstrate that he has access to, or has available, liquid assets (working capital cash in hand and bank guarantees) and/or credit facilities of not less than 10 per cent of the contract/contracts applied for, construction cash-flow may be taken as 10 per cent of the estimated value of contract/contracts.

2.6.7. The audited balance sheets for the last five years should be submitted, which must demonstrate the soundness of the Applicant's financial position, showing long-term profitability including an estimated financial projection for the next two years). Where necessary, the Employer will make inquiries with the applicant's bankers.

2.6.8. Litigation History

The Applicant should provide accurate information on any litigation or arbitration resulting from contracts completed or under execution by him over the last five years. A consistent history of awards against the Applicant or any partner of a joint venture may result in failure of the applicant.

2.6.9. Applicants who meet the minimum qualification criteria will be qualified only if their available bid capacity at the expected time of bidding is more than the total estimated cost of the works. The available bid capacity will be calculated as under:

Assessed Available Bid Capacity = $(A \cdot N \cdot 2 - B)$, where

A = Maximum value of works executed in any one year during the last five years (updated to the current price level) rate of inflation may be taken as 10 per cent per year which will take into account the completed as well as works in progress;

B = Value at current price level of the existing commitments and ongoing works to be completed during the next ____ years (period of completion of works for which bids are invited); and

N = Number of years prescribed for completion of the works for which the bids are invited.

Note: In case of a Joint Venture, the available bid capacity will be applied for each partner to the extent of his proposed participation in the execution of the works.

2.6.10. Even though the Applicants meet the above criteria, they are subject to be disqualified if they have:

- made misleading or false representation in the form, statements and attachments submitted; and/or
- Records of poor performance such as abandoning the work, rescinding of contract for which the reasons are attributable to the non-performance of the contractor; consistent history of litigation awarded against the applicant or financial failure due to bankruptcy. The rescinding of contract of a joint venture on account of reasons other than non-performance, such as Most Experienced partner of joint venture pulling out, court directions leading to breaking up of a joint venture before the start of work, which are not attributable to the poor performance of the contractor will, however, not affect the prequalification of the individual partners.

2.7. JOINT VENTURES

2.7.1. Joint ventures must comply with the following requirements:

(a) Following are the minimum qualification requirements;

- (i) The lead partner shall meet not less than 40 per cent of all the qualifying criteria given in paras 2.6.3. and 2.6.6. above.
- (ii) Each of the partner shall meet not less than 30 per cent of all the qualifying criteria given in paras 2.6.3. and 2.6.6. above.

- (iii) The joint venture must satisfy collectively the criteria of paras 2.6.4, 2.6.5 & 2.6.6 for which purpose the relevant figures for each of the partners shall be added together to arrive at the joint venture's total capacity. Individual members must each satisfy the requirements of paras 2.6.7 & 2.6.8 above.
- (b) The formation of a joint venture after prequalification, and any change in a prequalified joint venture, will be subject to the written approval of the Employer prior to the deadline for submission of bids. Such approval shall be denied if (i) partners withdraw from a joint venture and the remaining partners do not meet the qualifying requirements; (ii) the new partners to a joint venture are not qualified, individually or as another joint venture; or (iii) in the opinion of the Employer, a substantial reduction in competition may result.
- (c) Any bid shall be signed so as to legally bind all partners, jointly and severally, and any bid shall be submitted with a copy of the joint venture agreement providing the joint and several liability with respect to the contract.

2.7.2. The prequalification of a joint venture does not necessarily prequalify any of its partners individually or as a partner in any other joint venture or association. In case of dissolution of a joint venture, each one of the constituent firms may prequalify if they meet all the prequalification requirements, subject to the written approval of the Employer.

2.8. PUBLIC SECTOR COMPANIES

2.8.1. Majority publicly-owned enterprises may be eligible to qualify if, in addition to meeting all the above requirements, they are also:

- (a) Commercially-oriented legal-entities distinct from the Employer,
- (b) Financially autonomous, as demonstrated by requirements in their constitutions to provide separate audited accounts and return on capital, powers to raise loans and obtain revenues through the sale of goods or services; and
- (c) Managerially autonomous.

2.9. CONFLICT OF INTEREST

2.9.1. The Applicant (including all members of a joint venture) must not be associated, nor have been associated in the past, with the consultant (M/s. _____) or any other entity that has prepared the design, specifications, and other prequalification and bidding documents for the Project, or that was proposed as Engineer for the Contract, over the last five years. Any such association may result in the disqualification of the Applicant.

2.10. UPDATING PREQUALIFICATION INFORMATION

2.10.1. Bidders shall be required to update the financial information used for prequalification at the time of submitting their bids, to confirm their continued compliance with the qualification criteria and verification of the information provided. A bid shall be rejected if the Applicant's qualification thresholds are no longer met at the time of bidding.

2.11. GENERAL

2.11.1. Only firms and joint ventures that have been prequalified under this procedure will be invited to bid. A qualified firm or a member of a qualified joint venture may participate in only one bid for the contract. If a firm submits more than one bid, singly or in joint venture, all bids including that party will be rejected. This rule will not apply in respect of bids which include specialist subcontractors who are used by more than one bidder.

2.11.2. Bidders will be required to provide bid security in the form of a bond, banker's guarantee, or other security acceptable to the Employer about 2 per cent of the estimated cost, and the successful bidder will be required to provide performance security. Examples of acceptable forms will be supplied with the bidding documents.

2.11.3. The Employer reserves the right to:

- (a) amend the scope and value of any contract(s) to bid, in which event the contract(s) will only be bid among those prequalified bidders who meet the requirements of the contract(s) as amended;
- (b) reject or accept any application; and
- (c) cancel the prequalification process and reject all applications.

The Employer shall neither be liable for any such actions nor be under any obligation to inform the Applicant of the grounds for them.

2.11.4. Applicants will be advised in writing by fax or telex, within 90 days of the date for submission of applications (para 2.5.1 above), of the result of their application, and the names of the prequalified applicants, without assigning any reason for the Employer's decision.

LETTER OF APPLICATION

[letterhead paper of the Applicant, or partner responsible for a joint venture, including full postal address, telephone no., fax no., telex no., and cable address]

Date: _____

To

[Name & Address of the Employer]

Sir

Being duly authorised to represent and act on behalf of _____ (hereinafter "the Applicant"), and having reviewed and fully understood all the prequalification information provided, the undersigned hereby apply to be prequalified by yourselves as a bidder for the following contract(s) under the _____ [name of the Project] project :

S.No.	Contract number	Contract name
(1)		
(2)		
(3)		
(4)		

Note: The Applicant is to delete, in ink, any contract for which he does not wish to prequalify, and sign and date the deletion.

2. Attach to this letter are copies of original documents defining.^(A)

- (a) the Applicant's legal status;
- (b) the principal place of business; and
- (c) the place of incorporation (for applicants who are corporations); or the place of registration and the nationality of the owners (for applicants who are partnerships or individually-owned firms).
- (d) authority letter(s) for signatory(ies)

^(A) For applications by joint ventures, all the information requested in the prequalification documents is to be provided for the joint venture, if it already exists, and for each party to the joint venture separately. The lead partner should be clearly identified. Each partner in the joint venture shall sign the letter.

3. Your Agency and its authorized representatives are hereby authorized to conduct any inquiries or investigations to verify the statements, documents, and information submitted in connection with this application, and to seek clarification from our bankers and client regarding any financial and technical aspects. This Letter of Application will also serve as authorization to any individual or authorized representative of any institution referred to in the supporting information, to provide such information deemed necessary and requested by yourselves to verify statements and information provided in this application, or with regard to the resources, experience, and competence of the Applicant.

4. Your Agency and its authorized representatives may contact the following persons for further information: ^(B)

General and managerial inquiries	
Contact 1	Telephone 1
Contact 2	Telephone 2
Personnel inquiries	
Contact 1	Telephone 1
Contact 2	Telephone 2
Technical inquiries	
Contact 1	Telephone 1
Contact 2	Telephone 2
Financial inquiries	
Contact 1	Telephone 1
Contact 2	Telephone 2

(B) Applications by joint ventures should provide on a separate sheet equivalent information for each party to the application.

5. This application is made in the full understanding that.
- (a) bids by prequalified applicants will be subject to verification of all information submitted for prequalification at the time of bidding.
 - (b) your Agency reserves the right to:
 - amend the scope and value of any contracts/bid under this project; in such event, bids will only be called from prequalified bidders who meet the revised requirements; and
 - reject or accept any application, cancel the prequalification process, and reject all applications; and
 - (c) your Agency shall not be liable for any such actions and shall be under no obligation to inform the Applicant of the grounds for them.

6. Appended to this application, we give details of the participation of each party, including capital contribution and profit/loss agreements, to the joint venture or association. We also specify the financial commitment in terms of the percentage of the value of the (each) contract, and the responsibilities for execution of the (each) contract.

7. We confirm that in the event that we bid, that bid as well as any resulting contract will be:

- (a) signed so as to legally bind all partners, jointly and severally; and
- (b) submitted with a joint venture agreement providing the joint and several liability of all partners in the event the contract is awarded to us.

8. The undersigned declare that the statements made and the information provided in the duly completed application are complete, true and correct in every detail.

Signed	Signed
Name	Name
For and on behalf of (name of Applicant of a joint venture)	For and on behalf of (name of partner)

Signed	Signed
Name	Name
For and on behalf of (name of partner)	For and on behalf of (name of partner)

Signed	Signed
Name	Name
For and on behalf of (name of partner)	For and on behalf of (name of partner)

APPLICATION FORM (1)**General Information**

All individual firms and each partner of a joint venture applying for prequalification are requested to complete the information in this form. Nationality information to be provided for all owners or applicants who are partnerships or individually-owned firms.

Where the Applicant proposes to use named subcontractors for critical components of the works, or for work, contents in excess of 10 per cent of the value of the whole works, the following information should also be supplied for the specialist subcontractor(s).

(1)	Name of firm	
(2)	Head office address	
(3)	Telephone	Contact
(4)	Fax	Telex
(5)	Place of incorporation/registration	Year of incorporation/Registration

APPLICATION FORM (1A)**STRUCTURE AND ORGANISATION**

- (1) The applicant is _____
- (a) an individual
 - (b) a proprietary firm
 - (c) a firm in partnership
 - (d) a Limited Company or Corporation
 - (e) a group of firms/joint venture
(If yes, give complete information in respect of each partner)
- (2) Attach the Organisation Chart showing the structure of organisation, including the names of the Director and position of officers. _____
- (3) Number of years of experience:
- (a) as a Prime contractor (contractor shouldering major responsibility)
 - (i) in own country _____
 - (ii) other countries (specify country) _____

- (b) in a Joint Venture
- (i) in own country _____
- (ii) other countries (specify country) _____
- (c) as sub-contractor in
- (specify main contractor)
- (i) in own country _____
- (ii) other countries (specify country) _____
- (4) For how many years has your organisation been in business of similar work under its present name? What were your fields when your organisation was established? Whether any new fields were added in your organisation? And if so, when? _____
- (5) Were you ever required to suspend construction for a period of more than six months continuously after you started? If so, give name of project & give reasons thereof. _____
- (6) Have you ever left the work awarded to you incomplete? (If so, give name of project & reasons for not completing work). _____
- (7) In which fields of civil engineering construction do you claim specialization and interest _____
- (8) Give details of your experience in using heavy earthmoving equipment & quality control in compaction of soils. _____
- (9) Give details of your soil and material testing laboratory, if any. _____
- (10) Give details of your experience in mechanized granular pavement construction. _____
- (11) Give details of your experience in construction of asphaltic overlays. _____
- (12) Give details of your experience in construction of bridge works in reinforced cement concrete. _____
- (13) Give details of your experience in construction of bridge works in well foundations of a depth not less than 12 m. _____
- (14) Give details of your experience in construction of bridge works in pile foundation of a depth not less than 12 m. _____
- C. These are sample illustrations to be modified as appropriate. _____

APPLICATION FORM (2)**General Experience Record**

Name of Applicant or partner of a Joint Venture

All individual firms and all partners of a joint venture are requested to complete the information in this form. The information supplied should be the annual turnover of the Applicant (or each member of a joint venture) in terms of the amounts billed to clients for each year for work in progress or completed.

Use a separate sheet for each partner of a joint venture.

Annual turnover data (construction works only)

S.No.	Year	Turnover	Indian Rupees
(1)			
(2)			
(3)			
(4)			
(5)			

APPLICATION FORM (2A)**Joint Venture Summary**

S.No.	Name of all Partners of a Joint Venture
(1)	Lead Partner
(2)	Partner
(3)	Partner

Total value of annual construction turnover, in terms of work billed to clients, in Indian Rupees, converted at the rate of exchange at the end of the period reported:

Annual turnover data (construction works only: US\$ equivalent)

Sl. No.	Partner	Form 2 Page no.	Year 1	Year 2	Year 3	Year 4	Year 5
(1)	Lead Partner						
(2)	Partner						
(3)	Partner						
	TOTAL						

Indicate responsibility in respect of planning, finance construction equipment, key personnel and execution of the work of the lead firm of the joint venture and of each of the Joint Venture partners:

Details regarding financial responsibility and participation (percentage share in the total) of each firm in the Joint Venture. Attach a Memorandum of Understanding for the Proposed Agreement of Joint Venture which should lay down responsibility regarding work and financial arrangements in respect of each of the firms in the Joint Venture (Refer para 2.7).

APPLICATION FORM (3)**Particular Experience Record**

Name of Applicant of a joint venture

APPLICATION FORM (3A)**Details of Contracts of Similar Nature [Highways and Airfields]**

Name of Applicant or partner of a joint venture

Use a separate sheet for each contract.

(1)	Number of contract	
	Name of Contract	
	Country	
(2)	Name of Employer	
(3)	Employer's Address	
(4)	Nature of works and special features relevant to the contract for which the Applicant wishes to prequalify	
(5)	Contract role (check one)	
	*Sole contractor	*Sub-contractor *Partner in a joint venture (Percentage participation)
(6)	Value of the total contract *(at completion or at date of award for current contracts).	
(7)	Date of award	
(8)	Date of completion	
(9)	Contract duration (years and months)	
	Years	Months
(10)	Specified requirements (as in)	
(11)	Name and professional qualifications of applicant's Engineer-in-Charge of the work	
(12)	Were there any penalties/fines/stop-notice/compensation/equidated damages imposed? (Yes or No). If yes, give amount and explanation.	

Insert any specific criteria required for particular operations, such as annual volume of earthmoving, underground excavation, or placing concrete, as applicable.

- * In case of contracts in foreign currency, the value of the contract in that currency should be stated.
A certificate of completion from the Employer/Engineer must be enclosed.

APPLICATION FORM (4)**Summary Sheet: Current Contract Commitments/Works in Progress**

Name of Applicant or partner of a joint venture

Applicants and each partner to an application should provide information on their current commitments on all contracts that have been awarded, or for which a letter of intent or acceptance has been received, or for contracts approaching completion, but for which an unqualified, full completion certificate has yet to be issued.

Sl. No.	Name of Contract	Name of Client	Contract Value	Stipulated Date of Completion	Value of outstanding work	Estimated Completion
(1)						
(2)						
(3)						
(4)						
(5)						
(6)						

APPLICATION FORM (5)**Personnel Capabilities**

Name of Applicant

For specific positions essential to contract implementation, applicants should provide the names of at least two candidates qualified to meet the specified requirements stated for each position. The data on their experience should be supplied in separate sheets using one Form(5A) for each candidate.

(1)	Title of position
	Name of prime candidate
	Name of alternate candidate
(2)	Title of position
	Name of prime candidate
	Name of alternate candidate
(3)	Title of position
	Name of prime candidate
	Name of alternate candidate
(4)	Title of position
	Name of prime candidate
	Name of alternate candidate

APPLICATION FORM (5A)

Candidate Summary

Name of Applicant

Position		Candidate *Prime *Alternate
Candidate information	(1) Name of Candidate	(2) Date of Birth
	(3) Professional Qualifications	
Present Employment	(4) Name of employer	
	Address of employer	
	Telephone	Contact (Manager/Personnel Officer)
	Fax	Telex
	Job title of Candidate	Years with present employer

Summarize professional experience over the last 20 years, in reverse chronological order. Indicate particular technical and managerial experience relevant to the Project.

[illegible]

APPLICATION FORM (6)**Equipment Capabilities**

Name of Applicant

The Applicant shall provide adequate information to demonstrate clearly that it has the capability to meet the requirements for each and all items of equipment listed in the Instructions to Applicants. A separate Form (6) shall be prepared for each item of equipment listed in para 2.6.5 of the Instructions to Applicants, or for alternative equipments proposed by the Applicant.

Item of equipment

Equipment	(1) Name of manufacturer	(2) Model and power rating
	(3) Capacity	(4) Year of manufacture
Current status	(5) Current location	
	(6) Details of current commitments	
Source	(7) Indicate source of the equipment	
	<input type="checkbox"/> Owned <input type="checkbox"/> Rented <input type="checkbox"/> Leased <input type="checkbox"/> Specially manufactured	

Omit the following information for equipment owned by the Applicant or partner.

Owner	(8) Name of owner	
	(9) Address of owner	
	Telephone	Contact name and title
	Fax	Telex
Agreements	Details of rental/lease/manufacture agreements specific to the Project	

APPLICATION FORM (7)**Financial Capability**

Name of Applicant or partner of a joint venture

Applicants, including each partner of a joint venture, should provide financial information to demonstrate that they meet the requirements stated in the Instructions to Applicants. Each applicant or partner of a joint venture must fill in this form. If necessary, use separate sheets to provide complete banker information. A copy of the audited balance sheets should be attached.

Banker	Name of Banker	
	Address of Banker	
	Telephone	Contact name and title
	Fax	Telex

Summarize actual assets and liabilities in Indian Rupees (IRs.) (at the exchange current at the end of each year) for the previous five years. Based upon known commitments, summarize projected assets and liabilities in IRs. equivalent for the next two years.

APPLICATION FORM 7 (Contd.)

Financial information in Indian Rupees	Actual: Previous five years					Projected: Next two years	
	1.	2.	3.	4.	5.	6.	7.
(1) Total assets							
(2) Current assets							
(3) Total liabilities							
(4) Current liabilities							
(5) Profit before taxes							
(6) Profit after taxes							

Specify proposed sources of financing to meet the cash flow demands of the Project, net of current commitments (Instructions to Applicants, para 3.5).

S.No.	Source of financing	Amount in Indian Rupees
(1)		
(2)		
(3)		
(4)		

Attach audited financial statements for the last five years (for the individual applicant or each partner of a joint venture).

Firms owned by individuals, and partnerships, may submit their balance sheets certified by a registered accountant, and supported by copies of tax returns, if audits are not required.

APPLICATION FORM (8)

Litigation History

Name of Applicant or partner of a joint venture

Applicants, including each of the partners of a joint venture, should provide information on any history of litigation or arbitration resulting from contracts executed in the last five years or currently under execution (Instructions to Applicants, para 2.6.8). A separate sheet should be used for each partner of a joint venture.

Year	Award for or against applicants	Name of client, cause of litigation, and matter in dispute	Disputed amount (current value in Indian Rs.)	Actual awarded amount in Indian Rs.

APPLICATION FORM (9)**INFORMATION REGARDING CURRENT LITIGATION, DEBARRING/EXPELLING OF TENDERER OR ABANDONMENT OF WORK BY TENDERER**

- (1) (a) Has the Applicant or its constituent partners ... YES/NO
consistent history of litigation awarded against him?
(b) If yes, give details.
- (2) (a) Has the Applicant or any of its constituent partners ...YES/NO
been debarred/expelled by any Agency in India during
the last 5 years excepting on account of reasons other
than non-performance, such as rescinding of joint
venture due to most experienced partner of joint venture
pulling out, court directions leading to breaking up of a
joint venture before start of work?
(b) If yes, give details.
- (3) (a) Has the Applicant or any of its constituent partners ... YES/NO
abandoned any contract work in India, during the
last 5 years?
(b) If yes, give details.
- (4) (a) Has the Applicant or any of its constituent partners YES/NO
been declared bankrupt during the last 5 years?
(b) If yes, give details, including present status.

Note : If any information in this schedule is found to be incorrect or concealed, prequalification application will be summarily rejected.

APPLICATION FORM (10)**AFFIDAVIT**

(To be given separately by each partner of Joint Venture)

- (1) I, the undersigned, do hereby certify that all the statements made in the required attachments are true and correct.
- (2) The undersigned also hereby certifies that neither our firm M/s _____ nor any of its constituent partners have abandoned any work on National Highways in India nor any contract awarded to us for such works have been rescinded, during last five years prior to the date of this bid.
- (3) The undersigned hereby authorise(s) and request(s) any bank, person, firm or corporation to furnish pertinent information deemed necessary and requested by the Department to verify this statement or regarding my (our) competence and general reputation.
- (4) The undersigned understand and agrees that further qualifying information may be requested and agrees to furnish any such information at the request of the Department/Project implementing agency.

(Signed by an Authorised Officer of the Firm)

Title of Officer

Name of Firm

Date