



**North American Development Bank**

**Model Prequalification Document:  
Prequalification of Contractors**

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## Preface

Procurement under projects financed by the North American Development Bank (the Bank), is carried out in accordance with procedures laid down in its *Procurement Policies and Procedures*.

The Model Prequalification Documents in this publication have been prepared for use by borrowers in the procurement of major equipment, works and plant installation contracts through open bidding in projects financed by the Bank. The procedures and practices they convey have been developed through broad international experience in other IFIs such as the World Bank and comply with the above policies and rules.

Complementing this document is a Procurement Note on Prequalification which explains the reasons for following this procedure and its advantages, and gives general guidance to borrowers and their consultants on seeking information from applicants, and the procedures for evaluation of their submissions. The Note does not constitute part of the prequalification document and must not be included in the documents circulated to applicants.

Additional information on procurement under Bank-assisted projects can be obtained from:

**North American Development Bank**  
**San Antonio**  
**Texas**  
**USA**  
**Telephone:**  
**Facsimile:**

## How to Use These Documents

1. These Model Prequalification Documents are intended to guide the prequalification of applicants wishing to bid for large building, civil engineering, large plant, heavy equipment, and certain types of supply and installation contracts. They include a form for Invitation for Prequalification, Instructions to Applicants, Prequalification Data, a Letter of Application, and Model forms for applicants to complete.
2. To simplify presentation, the text of the prequalification data has been written primarily for construction contracts (the most common application of prequalification procedures). Care should be taken when preparing prequalification documents to ensure that the prequalification criteria are clear and explicit, and that they refer to the needs and characteristics of the specific contract being bid. The following directions should be observed when using these Model Prequalification Documents:
  - The Instructions to Applicants should be used without change.
  - The Prequalification Data should follow the general format of this document, but data and criteria specific to the proposed bid must be prepared.
  - The forms will require adaptation to a greater or lesser degree to suit the requirements of each proposed bid.
  - The italicized notes that are boxed, are not part of the text; they contain guidance and instructions for the drafter. They should not be incorporated in actual prequalification documents.
  - Where alternative clauses or texts are shown, the drafter should select those that best suit the particular contract and discard the alternative text that is not used, or draft a new text and discard all the alternatives.

## TABLE OF CONTENTS

### INVITATION FOR PREQUALIFICATION

#### **VOLUME I** INSTRUCTIONS TO APPLICANTS

- (1) GENERAL
- (2) ELIGIBILITY AND QUALIFICATION CRITERIA
- (3) PREPARATION AND SUBMISSION OF APPLICATIONS
- (4) PREQUALIFICATION AND BIDDING

### PREQUALIFICATION DATA

### LETTER OF APPLICATION

### APPLICATION FORMS:

- (1) GENERAL INFORMATION
- (2) GENERAL EXPERIENCE RECORD
- (2A) JOINT VENTURE SUMMARY
- (3) PARTICULAR EXPERIENCE RECORD
- (3A) DETAILS OF CONTRACTS OF SIMILAR NATURE AND COMPLEXITY
- (4) SUMMARY SHEET: CURRENT CONTRACT COMMITMENTS / WORKS IN PROGRESS
- (5) PERSONNEL CAPABILITIES
- (5A) CANDIDATE SUMMARY
- (6) EQUIPMENT CAPABILITIES
- (7) FINANCIAL CAPABILITY
- (8) LITIGATION HISTORY

#### **VOLUME II**

*Volume II includes general information on the location, scope and duration of the contract(s) and other relevant data, as appropriate.*

[ country ]  
 [ project title ]

## INVITATION FOR PREQUALIFICATION

[ title of contract ]

This Invitation for Prequalification follows the General Procurement Notice for this project which was published in [ state publication, issue and date ].

[ name of Purchaser ] (the Purchaser) intends using part of the proceeds of a loan from the North American Development Bank (the Bank) towards the cost of [ specify project ].

The Purchaser intends prequalifying firms and joint ventures to bid for the following contract(s) to be funded from part of the proceeds of the loan:

- [ Include brief description covering type and size of each contract. Provide locations and estimated schedule. ]
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Prequalification and bidding for contracts to be financed with the proceeds of a loan from the Bank is open to firms and joint ventures of firms from any country.

Prequalification documents may be obtained from the address below upon payment of a non-refundable fee of [ state currency and value ]. [ Give instructions for payment by bank transfer or the like ]. If requested, the documents will be promptly dispatched by courier, but no liability can be accepted for loss or late delivery.

The prequalification documents must be duly completed and delivered to the address below, on or before [specify time and date of deadline for submission]. Documents which are received late may be rejected and returned unopened.

Interested firms may obtain further information from, and inspect and acquire the prequalification documents at the following office:

[ Contact Name ]  
 [ Executing Agency ]  
 [ Address ]  
 [ Tel: ]  
 [ Fax: ]

Date: \_\_\_\_\_



## VOLUME I

### Instructions to Applicants

#### 1. General

- 1.1 The Purchaser, as defined in the **prequalification data**, intends using the proceeds of a loan from the North American Development Bank (the Bank), to finance contract(s) for which this Invitation for Prequalification is issued. Payments by the Bank will be made only at the request of the Purchaser and upon approval by the Bank and will be subject in all respects to the terms and conditions of the Loan Agreement.
- 1.2 The Purchaser intends prequalifying firms and joint ventures to bid for the contract(s) outlined in the **prequalification data**.
- 1.3 The bidding schedule is outlined in the **prequalification data**.
- 1.4 General information on the location, scope and duration of the contract(s) and other relevant data, is attached as Volume II. The Form of Contract to be used is specified in the **prequalification data**.

#### 2. Eligibility and Qualification Criteria

- 2.1 Subject to paragraph 1.1, prequalification is open to firms and joint ventures from any country, unless specified otherwise in the **prequalification data**.
- 2.2 Prequalification will be based on the applicant meeting the minimum pass/fail criteria regarding the applicant's general and particular experience, personnel and equipment capabilities, and financial position, specified in the **prequalification data**, as demonstrated by the applicant's responses in the forms attached to the Letter of Application and other requested documentation. Specific requirements for joint ventures are also given in the **prequalification data**. The Purchaser reserves the right to waive minor deviations, if they do not materially affect the capability of an applicant to perform the contract.
- 2.3 When highly specialized inputs (essential for execution of the contract) are required by the applicant from specialized subcontractors, application forms shall be completed for such subcontractors and their inputs.
- 2.4 No affiliate of a purchasing entity shall be eligible to bid or participate in a bid in any capacity whatsoever, unless it can be demonstrated that there is not a significant

degree of common ownership, influence or control amongst the purchasing entity and the affiliate.

- 2.5 Where a firm, its affiliates or parent company, in addition to consulting, also has the capability to manufacture or supply goods or to construct works, that firm, its affiliates or parent company normally cannot be a supplier of goods or works on a project for which it provides consulting services, unless it can be demonstrated that there is not a significant degree of common ownership, influence or control.

### 3. Preparation and Submission of Applications

- 3.1 If specified in the **prequalification data**, a clarification meeting and/or site visit will be held at the time, date, and place specified. Prospective applicants may request in writing clarification of the project requirements and the criteria for qualification at any time up to 21 days prior to the deadline set for the submission of applications. The response in writing will be sent to all prospective applicants that have received the prequalification documents (including the query but without identifying the source of the esquire).
- 3.2 All the information requested for prequalification shall be answered in the language specified in the **prequalification data**. Where information is provided in another language this shall be accompanied by a translation of its pertinent parts into the language of the prequalification documents. This translation will govern and be used for interpreting the information. Information should be submitted in the formats specified in the application forms included with these prequalification documents.
- 3.3 The application for prequalification shall consist of the following:
  - (a) the letter of application; and
  - (b) the forms and documentation specified in the **prequalification data**.
- 3.4 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.
- 3.5 Submission of applications for prequalification must be received in sealed envelopes, which shall be delivered either by hand or by registered mail, to the address specified in the **prequalification data** no later than the date specified in the **prequalification data**, and shall bear the identification specified in the **prequalification data**. The Purchaser reserves the right to accept or reject late applications.
- 3.6 The name and mailing address of the applicant shall be clearly marked on the envelope.

## 4. Prequalification and Bidding

4.1 The Purchaser reserves the right to:

- (a) amend the scope and value of any contract(s) to be bid, in which event the contract(s) will only be bid among those prequalified applicants 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 Purchaser shall neither be liable for any such actions nor be under any obligation to inform the Applicant of the grounds for them.

4.2 Applicants will be advised in writing or by fax, within the period specified in the **prequalification data**, of the result of their application and of the names of the prequalified applicants, without assigning any reason for the Purchaser's decision.

4.3 Only firms and joint ventures that have been prequalified under this procedure will be invited to bid. A firm may apply for prequalification both individually and as part of a joint venture. However, a prequalified firm or a member of a prequalified joint venture may participate as a bidder in only one bid, either individually or as a partner in a joint venture, for the contract. Submission or participation by a bidder in more than one bid for a contract (other than alternatives which have been permitted or requested) will result in the disqualification of all bids for that contract in which the party is involved. However, this does not limit the inclusion of the same subcontractor in more than one bid.

4.4 An applicant may be "conditionally prequalified" by the Purchasers, that is, prequalified subject to certain specified requirements being met by the applicant prior to a prescribed deadline (such as, the issuance of the Invitation to Bid or the submission of a bid by the applicant). Requirements for "conditional prequalification" include such factors as:

- revision to a preliminary joint venture agreement;
- substitution of an unqualified subcontractor or collaborator for specialized inputs;
- improving critical project management;
- recruiting experts in specialized fields;
- the applicant's questionable ability to undertake the proposed contract due to the pending award of other significant contracts;
- submitting bank reference(s) or a bank commitment to provide a bid security, a performance security and/or line of credit in the event the applicant submits a bid and is successful.

- 4.5 Prequalified bidders shall be required to update the relevant 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 bidder shall be disqualified if it no longer meets the qualification requirements at the time of bidding.
- 4.6 Joint ventures must comply with the following requirements:
- (a) 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 Purchaser prior to the deadline for submission of bids. Such approval may be denied if (i) partners withdraw from a joint venture and the remaining partners do not meet the qualifying requirements; (ii) the level of participation by partners or the structure of the joint venture is substantially changed; (iii) the new joint venture is not qualified; or (iv) in the opinion of the Purchaser, a substantial reduction in competition may result.
  - (b) 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.
- 4.7 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 Purchaser prior to the deadline for submission of bids.
- 4.8 Prequalified bidders will be required to provide a bid security as outlined in the **prequalification data**. The successful bidder will be required to provide a performance security. Details of these securities will be specified in the bidding documents.

**VOLUME I**

**PREQUALIFICATION DATA**

*This attachment contains information specific to the procurement in question, which is needed for the paragraphs indicated. It should be completed by the Purchaser. These provisions are only illustrative and for guidance in drafting.*

**Instructions to Applicants**

**para. 1.1 Name of the Purchaser** [Specify the name of the Purchaser.]

**para. 1.2 Contract(s) for Prequalification** [Specify contract(s) for which prequalification is invited.]

*Describe the Project in sufficient detail to identify the location, nature, and complexity of the works or contracts. The information should be prepared for each specific contract, if more than one contract is to be let concurrently as a package of contracts, based upon the estimated cost and duration of each specific contract in the package.*

*The estimated cost should not be disclosed in these Instructions or in the Invitation for Prequalification Documents.*

**para. 1.3 Bidding Schedule** [Specify the bidding schedule.]

**EXAMPLE:**

The planned bidding schedule is as follows:

Invitation to prequalify	[Specify date]
Results of prequalification	[Specify date]
Invitation to bid	[Specify date]
Submission of bids	[Specify date]
Contract award	[Specify date]

**para. 1.4 Form of Contract** [Specify the Form of Contract to be used.]

**EXAMPLE:**

The contract will be a (unit price/lump sum/turnkey/or other). [The FIDIC Conditions of Contract for Civil Works - fourth edition - 1987, will be used]. The bidding documents

will be the Bank's Model Bidding Document for [goods/supply and installation/civil works].

**para 2.1 Eligibility**

[Specify any restriction on eligibility consistent with the Bank's policies and rules].

*The Bank permits firms and individuals from all countries to offer goods, works and services for Bank-financed projects regardless of whether the country is a member of the Bank. Any conditions for participation shall be limited to those that are essential to ensure the firm's capability to fulfill the contract in question. Borrowers will not exclude a firm from open competition for a contract for reasons unrelated to its capability to perform the contract in question unless, as a matter of law or official regulation, the client's country prohibits commercial relations with the firm's country. Any such restriction must be explicitly specified in the prequalification data and is subject to the Bank's prior approval.*

**para. 2.2 Qualification Criteria**

[Specify prequalifying criteria and documentation to be submitted.]

To be prequalified an applicant must demonstrate to the Purchaser that it substantially satisfies the requirements regarding experience, personnel, equipment, financial position and litigation history, specified below:

*The criteria outlined in the following examples are typical of those used in works contracts. Different criteria should be devised for the prequalification of suppliers or manufacturers of equipment and industrial plant, for example. With respect to the prequalification of contractors for contracts to be bid on a "slice and package" basis, capacity criteria should be established for the smallest "slice", a range of likely combinations of slices, and the whole "package"; applicants should be classified in accordance with their capacities, in respect of the number of slices they can contract for or the total package. Reference should be made to the "Guidance Note on Prequalification" annexed to this document, when drafting these criteria.*

*Where prequalification refers to more than one contract/works to be awarded on a "slice and package" basis, the criteria related to General Experience, Personnel and Equipment Capabilities and Financial Position should be expanded to list the requirements for the smallest "slice," any combination of "slices," and for the whole "package."*

**EXAMPLE:**

*General Experience.* The applicant shall meet the following minimum criteria:

- (a) average annual turnover as prime contractor, subcontractor or management contractor (defined as billing for works in progress and completed) over the last \_\_\_\_\_\* years of US\$ \_\_\_\_\_\*\* equivalent; and
- (b) successful experience as prime contractor in the execution of at least three projects\*\*\* of a nature and complexity comparable to the proposed contract within the last \_\_\_\_\_\*years; this experience should include: \_\_\_\_\_\*\*\*\*

*\*This period is normally five years, but may be less if special circumstances warrant it.*

*\*\*Usually not less than 2.5 times the estimated annual cash flow in the proposed contract or works (based on a straight line projection). The coefficient may be smaller for very large or very small contracts, but not less than 1.5, and should take into consideration special country circumstances.*

*\*\*\*This criterion must be made more rigorous in projects requiring considerable specialized experience (refer to "Guidance Note on Prequalification" annexed to this document).*

*\*\*\*\*Indicate an annual production rate for the key construction activity (or activities) in the proposed contract or works. The annual rate should be a percentage (say 80 percent) of the expected peak rate of construction for the key activity (or activities) in the contract or works.*

#### **EXAMPLE:**

**Personnel Capabilities.** The applicant shall provide suitably qualified personnel to fill the following positions. For each position the applicant will supply information (in Form 5) on a prime candidate and an alternate, each of whom should meet the experience requirements specified below:

<i>Position</i>	<i>Total experience (years)</i>	<i>In similar works (years)</i>	<i>As manager of similar works (years)</i>
<i>Project manager</i>			
<i>Other position</i>			
<i>Other position</i>			
<i>Other position</i>			

*List only key management and specialist positions. Do not include all principals, head office personnel who are not key to the Project, and other non-specialist personnel.*

#### **EXAMPLE:**

**Equipment Capabilities.** The applicant shall own or have assured access to (through hire, lease, purchase agreement, availability of manufacturing equipment, or other

means) 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. The applicant may also list alternative equipment which he would propose for the contract, together with an explanation of the proposal.

<i>Equipment type and characteristics</i>	<i>Minimum number required</i>
1.	
2.	
3.	

*The above applies mainly to construction works. However, it may be adapted for some heavy engineering contracts, supply and installation, and other contracts requiring plant capacity. Insert a list of the key equipment needs based on specific items or performance criteria, as appropriate, and when these items will be required. The items listed shall be limited to major items of equipment which are crucial to the proper and timely execution of the contract, and which applicants may not readily be able to purchase, hire, or lease in the required time frame.*

**EXAMPLE:**

*Financial Position.* The applicant shall demonstrate that he has access to, or has available, liquid assets, unencumbered real assets, lines of credit, and other financial means sufficient to meet the estimated cash flow requirements for the contract of not less than US\$\_\_\_\_\_ equivalent, net of the applicant's commitments for other contracts.

*Calculate the cash flow for a number of months, determined as the total time needed by the Purchaser to pay a contractor's invoice, allowing for (a) the time of construction, from the beginning of the month invoiced; (b) the time needed by the engineer to issue the monthly certificate; (c) the time needed by the Purchaser to pay the amount certified, and (d) a contingency period of two months to allow for unforeseen delays. (One month contingency is adequate when the total of (a) + (b) + (c) is three months or less). The assessment may be based on a straight line projection of the estimated cash flow requirement, neglecting the effect of any advance payments and retention monies.*

The audited balance sheets for the last \_\_\_\_\_ years should be submitted and must demonstrate the soundness of the applicant's financial position, showing long-term profitability. Where necessary, the Purchaser will make inquiries with the applicant's bankers.

*Firms owned by individuals and partnerships may not be required to maintain audited balance sheets by the laws of their countries of origin. In such cases, the audit requirement may be relaxed by the Purchaser.*

*Usually five years, but could be less in special country circumstances.*

**EXAMPLE:**

*Litigation History.* The applicant should provide accurate information on any current or past 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 application.

**para. 2.2 Joint Venture Requirements**

[Specify requirements for joint ventures.]

**EXAMPLE:**

Joint ventures must comply with the following minimum qualification requirements:

- (a) The lead partner shall meet not less than [ *determine and insert the appropriate percentage which, except for very large projects, shall be not less than 40 percent* ] percent of all the qualifying criteria for general experience and financial position above.
- (b) The other partners shall meet not less than [ *determine and insert the appropriate percentage which, except for very large projects, shall be not less than 25 percent* ] percent of all the qualifying criteria for general experience and financial position above.
- (c) The joint venture must satisfy collectively the criteria related to personnel and equipment capabilities and financial position stated above, 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 for audited balance sheets and litigation.

*Care should be exercised in drafting this requirement. In certain types of projects, joint ventures are formed by assembling the specialist skills of various contractors (e.g., civil, electrical, mechanical, and industrial). In such cases, the provisions referring to the lead partner, other partners and the joint venture as a whole must be tailored to the particular circumstances of the project.*

**para. 3.1 Clarification Meeting or Site Visit**

[Specify time, date and place of clarification meeting or site visit, if appropriate.]

*The above 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.*

**para. 3.2 Language**

[Specify language of the application for prequalification.]

*Bid documentation (including prequalification) shall be prepared in either English or Spanish according to the location of the project, and the language of the bid (including prequalification) shall be the governing language.*

**para. 3.3 Prequalification Application**

*[Specify the forms and documentation to be submitted with the letter of application]*

**EXAMPLE:**

**para. 3.5 Address of Purchaser**

*[Specify the address of Purchaser.]*

**Deadline for Submission**

*[Specify the date of deadline for submission of application for prequalification applications.]*

*The time allowed for preparation of the prequalification application should be sufficient for applicants to gather all the information required, preferably 60 days, but in any case not less than 45 days, after the date when the documents are available or the date of the advertisement whichever is the later. This period may be longer for very large projects, where time should be allowed for the formation of joint ventures and assembly of the necessary resources.*

**Identification of Application**

*[Specify identification to be recorded on the application for prequalification envelope.]*

**EXAMPLE:**

The applicant shall enter the words "Application to prequalify for" [*names of the Project and Contract(s), and any applicable number(s)*].

**para. 4.2 Results of Prequalification**

*[Specify period within which to inform of result of application.]*

**EXAMPLE:**

Applicants will be notified of the results of the prequalification by the Purchaser in writing by fax, within (\_\_\_\_\_) weeks of the date of submission of applications.

*A period of 8 - 12 weeks from the deadline for submission of applications is usual.*

**para. 4.8 Bid Security**

*[Specify the level and type of bid security which will be required from bidders, if applicable.]*

*The level of bid security should be specified as a % of the bid price. This is normally set at 1% of the bid price for very large contracts of over US\$100m, ranging up to 3%, and may be as high as 5% for relatively small contracts.*

*The bid security is normally required in the form of a banker's guarantee, letter of credit or other security acceptable to the Purchaser.*

## Letter of Application

[ *Letterhead 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 and address of the Purchaser* ]

Being duly authorized 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 tenderer for the following contract(s) under the [ *name of the Project* ] project:

<i>Contract number</i>	<i>Contract name</i>
1.	
2.	
3.	
4.	
5.	

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

<i>If prequalification refers to only one contract, delete the note and spaces for additional contract references.</i>
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2. Attached to this letter are copies of original documents defining:
- (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 (for applicants who are partnerships or individually-owned firms).

*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 clients 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:

<i>General and managerial inquiries</i>	
Contact 1	Telephone 1
Contact 2	Telephone 2

<i>Personnel inquiries</i>	
Contact 1	Telephone 1
Contact 2	Telephone 2

<i>Technical inquiries</i>	
Contact 1	Telephone 1
Contact 2	Telephone 2

<i>Financial inquiries</i>	
Contact 1	Telephone 1
Contact 2	Telephone 2

*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 an event, bids will only be invited from prequalified applicants 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.

*Applicants who are not joint ventures should delete paragraphs 6 and 7 and initial the deletions.*

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:
- (a) be signed so as to legally bind all partners, jointly and severally; and
  - (b) incorporate a conformed joint venture agreement substantially in accordance with the joint venture details outlined in the submission under paragraph 6 above and providing the joint and several liability of all partners.
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 or lead partner 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)

## General Information

*All individual firms and each partner of a joint venture applying for prequalification are requested to complete the information in this form.*

*Where the applicant proposes to use named subcontractors for critical components of the works, or for works in excess of 10% of the value of the whole works, the following information should also be supplied for the specialist subcontractor(s).*

1.	<i>Name of firm</i>	
2.	<i>Head office address</i>	
3.	<i>Telephone</i>	<i>Contact</i>
4.	<i>Fax</i>	<i>Telex</i>
5.	<i>Place of incorporation / registration</i>	<i>Year of incorporation / registration</i>

## 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, converted to a suitable convertible currency, at the rate of exchange at the end of the period reported.*

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

*Applicants are not required to enclose testimonials, certificates, and publicity material with their applications.*

<i>Annual turnover data (construction only)</i>		
<i>Year</i>	<i>Turnover</i>	<i>US\$ equivalent</i>
1.		
2.		
3.		
4.		
5.		

### Joint Venture Summary

<i>Names of all partners of a joint venture</i>	
1.	Lead partner
2.	Partner
3.	Partner
4.	Partner
5.	Partner
6.	Partner

*Total value of annual construction turnover, in terms of work billed to clients, in US\$ equivalent, converted at the rate of exchange at the end of the period reported:*

<i>Annual turnover data (construction only; US\$ equivalent)</i>						
<i>Partner</i>	<i>Form 2 page no.</i>	<i>Year 1</i>	<i>Year 2</i>	<i>Year 3</i>	<i>Year 4</i>	<i>Year 5</i>
<i>1. Lead partner</i>						
<i>2. Partner</i>						
<i>3. Partner</i>						
<i>4. Partner</i>						
<i>5. Partner</i>						
<i>6. Partner</i>						
<i>Totals</i>						

## Particular Experience Record

Name of applicant or partner of a joint venture

To prequalify, the applicant shall be required to pass the specified requirements applicable to this form, as set out in the **Prequalification Data**.

On a separate page, using the format of Form (3A), each applicant or partner of a joint venture is requested to list all contracts of a value equivalent to US\$..... million, of a similar nature and complexity to the contract for which the Applicant wishes to qualify, undertaken during the last \_\_\_\_\_ years. The value should be based on the currencies of the contracts converted into US\$, at the date of substantial completion, or for current contracts at the time of award. The information is to be summarized, using Form (3A), for each contract completed or under execution by the Applicant or by each partner of a joint venture.

*The amount should be similar to the Applicant's or partner's contribution to the joint venture.*

*The periods should be consistent with those specified in the Qualifying Requirements under paragraph 3.1 of the Instructions to Applicants.*

*Where applications are being invited for a number of contracts, suitable wording should be introduced, to allow applicants to apply for individual contracts or groups of contracts.*

*Where the applicant proposes to use named subcontractors for critical components of the works, or for work contents in excess of 10 percent of the value of the whole works, the information in the following forms should also be supplied for each specialist subcontractor.*

### Details of Contracts of Similar Nature and Complexity

Name of applicant or partner of a joint venture

*Use a separate sheet for each contract.*

1.	Contract Number
	Contract Name
	Country
2.	Name of Purchaser
3.	Address of Purchaser
4.	Nature of works and special features relevant to the contract for which the Applicant wishes to prequalify
5.	Contract role (check one) <input type="checkbox"/> Sole contractor <input type="checkbox"/> Management Contractor <input type="checkbox"/> Subcontractor <input type="checkbox"/> Partner in a joint venture
6.	Value of the total contract/subcontract/partner share (in specified currencies at completion or at date of award for current contracts). Currency    Currency    Currency
7.	Equivalent value US\$
8.	Date of award
9.	Date of completion
10.	Contract/subcontract duration (years and months) ___ years      ___ months
11.	Specified requirements
12.	For sole/prime contractors, indicate the approximate US\$ amount and nature of substantial work (more than 20% in contract value) undertaken by subcontract, if any.

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

**Summary Sheet: Current Contract Commitments /  
Works in Progress**

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Name of applicant or partner of a joint venture

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*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.*

<i>Name of contract</i>	<i>Value of outstanding work (current US\$ equivalent)</i>	<i>Estimated completion date</i>
1.		
2.		
3.		
4.		
5.		
6.		

## 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





## 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 the **Prequalification Data** or for alternative equipment proposed by the applicant.*

Item of equipment		
<i>Equipment information</i>	1. Name of manufacturer	2. Model and power rating
	3. Capacity	4. Year of manufacture
<i>Current status</i>	5. Current location	
	6. Details of current commitments	
<i>Source</i>	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.*

<i>Owner</i>	8. Name of owner	
	9. Address of owner	
	Telephone	Contact name and title
	Fax	Telex

<i>Agreements</i>	Details of rental / lease / manufacture agreements specific to the Project
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## 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 **Prequalification Data**. 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.*

<i>Banker</i>	Name of banker		
	Address of banker		
	Telephone	Contact name and title	
	Fax	Telex	

*Summarize actual assets and liabilities in US\$ equivalent (at the rates of exchange current at the end of each year) for the previous five years. Based upon known commitments, summarize projected assets and liabilities in US\$ equivalent for the next two years.*

<i>Financial information in US\$ equivalent</i>	<i>Actual: previous five years</i>					<i>Projected: next two years</i>	
	1	2	3	4	5	6	7
1. Total assets							
2. Current assets							
3. Total liabilities							
4. Current liabilities							
5. Profits before taxes							

6. Profits after taxes							
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Specify proposed sources of financing to meet the cash flow demands of the Project, net of current commitments specified in the **Prequalification Data**.

Source of Financing	Amount (US\$ equivalent)
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 by the laws of their countries of origin.



**VOLUME II**

*Volume II should include general information on the location and basic design of the project, the scope and the duration of the contract and other relevant data as appropriate, such as climate, hydrology, topography, access to site, transportation and communication facilities, medical facilities, project layout, expected construction period, facilities, services provided by the employer, etc.*