



## **REGIONAL LIQUIDITY SUPPORT FACILITY (RLSF) PROJECT**

**Prequalification Document for Consulting Services for  
implementation, testing, training and commissioning of  
RLSF transparency tool (TT).**

**Employer: African Trade Insurance Agency  
5th floor, Kenya Re Towers, Upperhill,  
P.O. Box 10620-00100,  
Nairobi, Kenya**

**August 2017**

**BMZ Nr. 2016 70 389**

**Tender No. FD/APU/KfW/002/2017**

# CONTENTS

Section	Page
PREAMBLE .....	2
GENERAL PROVISIONS (GP) .....	3
SPECIAL PROVISIONS (SP).....	12

## **PREAMBLE**

**REGIONAL LIQUIDITY SUPPORT FACILITY (RLSF)** is a financial instrument that removes the liquidity risk for Independent Power Producers and thus facilitates investments in renewable energy in Sub-Saharan Africa. It is a joint project of The African Trade Insurance Agency (ATI) and KfW

**ATI** is a multilateral investment insurer of credit and political risks with a paid up capital in excess of \$220 M. ATI has been profitable for the last 5 consecutive years and has an A rating from S&P. Its main shareholders include 13 African member countries as well as the African Development Bank. The RLSF will benefit from ATI's expertise and preferred creditor status with ATI member countries. The 2016 annual report of ATI can be found on their website:

[http://www.ati-aca.org/images/2016\\_English\\_Annual\\_Report.pdf](http://www.ati-aca.org/images/2016_English_Annual_Report.pdf)

**KfW** is the German Development Bank that is 100% owned by the German Government. The funds for the development and implementation of RLSF have been provided by the German Federal Ministry for Economic Cooperation and Development (BMZ).

The **Transparency Tool (TT)** is part of the implementation of the RLSF.

# **GENERAL PROVISIONS (GP)**

## **1. GENERAL PROVISIONS**

### **1.1 DEFINITIONS**

1.1.1 The following definitions apply:

- (a) “Applicable Guidelines” means the KfW Guidelines for the Assignment of Consultants in Financial Cooperation with Partner Countries.
- (b) “Applicable Law” means the laws and any other instruments having the force of law in the Employer’s country.
- (c) “Applicant(s)” means an entity or an association of entities (JV) that submits a set of documents as specified hereunder for being prequalified to submit a proposal.
- (d) “Consultant” means a legally-established professional consulting firm or an entity that may provide or provides the Services to the Employer under a Contract.
- (e) “Contract” means a legally binding written agreement signed between the Employer and the Consultant.
- (f) “Day” means a calendar day.
- (g) “Employer” means the contracting party that legally concludes the Contract for the Services with the selected Consultant notwithstanding the representation by KfW in case of an agency contract<sup>1</sup>.
- (h) “Government” means the government of the Employer’s country.
- (i) “Joint Venture (JV)” means an association with or without a legal personality distinct from that of its members, of more than one Consultant where one member has the authority to conduct all business for and on behalf of any and all the members of the JV, and where the members of the JV are jointly and severally liable to the Employer for the performance of the Contract. The terms Joint Venture and Consortium can be used interchangeably.
- (j) “Services” means the work to be performed by the Consultant pursuant to the Contract.
- (k) “Sub-Consultant” means an entity to whom the Consultant intends to subcontract any part of the Services while remaining responsible to the Employer as contracting party during the performance of the Contract.
- (l) “Special Provisions (SP)” means an integral part of this Prequalification Document that is used to reflect

<sup>1</sup> The term *Employer* in this document shall have the same meaning as the terms *Client* and *Project Executing Agency* in the KfW Guidelines for Assignment of Consultants in Financial Cooperation with Partner Countries.

specific country and project conditions to supplement, but not to over-write, the General Provisions.

## **1.2 SELECTION OF THE CONSULTANT**

1.2.1 To execute the project, the Employer intends to select one or several Consultants in accordance with the procedure named in the **SP**. In special cases the Employer might engage a specialised consultant, called Tender Agent to conduct the selection procedure on its behalf or KfW acts under an agency contract for the Employer. The selection shall be carried out in line with the provisions of the Guidelines for Assignment of Consultants in Financial Cooperation with Partners Countries (Guidelines) available at [www.kfw-entwicklungsbank.de](http://www.kfw-entwicklungsbank.de).

1.2.2 To execute the project, the Employer intends to select one or several Consultants in accordance with the procedure named in the **SP**. The selection shall be carried out in line with the provisions of the Guidelines for Assignment of Consultants in Financial Cooperation with Partners Countries (Guidelines) available at [www.kfw-entwicklungsbank.de](http://www.kfw-entwicklungsbank.de).

## **1.3 PREQUALIFICATION PROCEDURE**

1.3.1 This Prequalification Document sets out the prequalification procedure, including but not limited to the minimum requirements towards the experience and capabilities of the Applicants and the evaluation method. The Applicants who demonstrate to the Employer's satisfaction that they have the experience and the capabilities to execute the project shall be shortlisted in accordance with GP 4.2.6 to participate in the subsequent tendering procedure.

## **1.4 APPLICANTS**

1.4.1 The Applicant may be a single entity or an association of entities (Joint Venture or Consortium). The qualifications of all members in an association shall be considered in the evaluation process in accordance with GP 4.2.

1.4.2 Consultants and their affiliated companies may not be members of more than one association. If a Consultant is a member of an association, it may not submit an Application separately from that association. There is no limit to the number of members in an association.

1.4.3 The Applicant may appoint one or several Sub-consultants subject to the limitations specified in the **SP**. If the Applicant wishes the experience and personnel capabilities of the Sub-Consultants to be considered in the evaluation process in accordance with GP 4.2, the Applicant shall name such Sub-Consultants in the Declaration of Submitting a Proposal (Annexe I). In case of being shortlisted the Applicant undertakes to include such Sub-Consultants in the proposal.

1.4.4 The Employer shall not consider any other qualifications of the Sub-Consultants, but their project references) and personnel capabilities as per Annexe VII.

1.4.5 The Applicant shall designate an authorized representative who shall have the authority to conduct all business for and on behalf of the Applicant and any and all of

its members, if the Applicant is an association in accordance with GP 1.4.1.

**1.5  
REQUESTED SERVICES**

1.5.1 A brief description of the requested consulting services is presented in the **SP**.

**1.6  
CONFLICT OF INTEREST**

1.6.1 Applicants shall not have a conflict of interest in accordance with the Guidelines § 1.17.

**2. CONTENTS AND PREPARATION OF THE PREQUALIFICATION DOCUMENT**

**2.1  
LANGUAGE AND  
COMMUNICATION**

2.1.1 The Application, as well as all correspondence and documents relating to the Application exchanged between the Applicant and the Employer shall be in the language of this document. Any official documents presented in a different language shall be accompanied by a certified translation into the language of this document. The Employer reserves the right to verify the translation. In case of discrepancies the original document shall prevail.

2.1.2 All communication between the Employer and Applicants shall take place in writing. For the purposes of the prequalification document in writing shall mean communicated in written form (for example by post, e-mail or facsimile) and delivered with proof of receipt.

**2.2  
DOCUMENTS COMPRISING  
THE APPLICATION**

2.2.1 The Application submitted by the Applicant shall comprise the following:

(a) Application Letter, indicating the Applicant's name, address, telephone, fax and email. If the Applicant is an association, the Application Letter shall also describe the form of association and list the association members;

(b) A Power of Attorney authorizing the representative of the Applicant, designated in accordance with GP 1.4.5 to submit the Application on behalf of the Applicant. If the Applicant is an association, the Power of Attorney shall be provided by the Lead Consultant nominated in the association agreement or in the Declarations of Association, submitted in accordance with GP 2.2.1(d)(II). If the representative of the Applicant is the owner, member or director of the Applicant or the Applicant's Lead Consultant, if so nominated in accordance with GP 2.2.1(d)(II), a Power of Attorney shall not be necessary.

(c) Presentation of the Applicant (maximum 10 pages, no brochures). If the Applicant is a single entity, the Presentation shall describe the Applicant's type of entity, ownership structure and organisation chart, as well as its main business areas as they apply to the project. If the Applicant is an association, the Presentation shall provide this information about each association member as well as a description of the intended form of collaboration of the members within the association.

(d) Statements and Declarations: False information provided in the following Statements and Declarations shall lead to the exclusion of the Applicant from the tender process:

(I) Declaration of Submitting a Proposal in Case of Being Shortlisted in the format provided in Annex I.

(II) If the Applicant is an existing association, the Applicant shall submit a proof of the existing Association Agreement, indicating the Lead Consultant. If the Applicant is an association, which the members intend to form for the purpose of executing the contract, each member of the association shall submit a Declaration of Association, indicating the Lead Consultant, in the format provided in Annex II.

(III) Statement on Affiliated Firms in the format provided in Annex III. If the Applicant is an association, separate statements shall be provided by each member of the association.

(IV) Declaration of Undertaking in the format provided in Annex IV. If the Applicant is an association, separate declarations shall be provided by each member of the association.

(V) Financial Capacity Statement in the format provided in Annex V and supported by the Applicant's Balance Sheets and Profit and Loss Statements. If the Applicant is an association, separate statements, including the supporting Balance Sheets and Profit and Loss Statements, shall be provided by each member of the association. All Balance Sheets and Profit and Loss Statements shall be certified by a reputable auditor.

(VI) List of project references in the format provided in Annex VI. Unless otherwise stated in the **SP** the references shall be limited to a maximum of 10 projects carried out during the 5 years preceding the publication of this prequalification document. The Employer reserves the right to contact the clients indicated in the references to ascertain the information provided by the Applicant.

(VII) List of Available Expertise and Human Resource Capacity in the format provided in Annex VII.

(e) Any other documentation required in the **SP**.

2.2.2 Applicants shall submit concise and clear, but substantial documents and adhere to the above structure. Any interlineations, erasures or overwriting shall be valid only if initialled by the Applicant's representative designated in accordance with GP 1.4.5.

## 2.3 COST OF BIDDING

2.3.1 All cost relating to the preparation of the Application, including but not limited to site visits, obtaining information, preparation and submission of the Application, shall be borne by the Applicant.

**2.4  
SIGNING OF THE  
APPLICATION AND THE  
NUMBER OF COPIES**

2.4.1 The Applicant shall prepare one original Application as described in GP 2.2 and clearly mark it "ORIGINAL". All documents comprising the original Application shall be typed or written in indelible ink and shall be signed by the Applicant's representative designated in accordance with GP 1.4.5. If the Applicant is an association, the statements and declarations submitted by the members of the association in accordance with GP 2.2.1(d)(II) - (VII) shall be signed by duly authorized officials, such as owners or directors of the respective members.

2.4.2 The Applicant shall prepare copies of the signed original Application and clearly mark each of them "COPY". The number and type of copies of the Application shall be in accordance with the **SP**. In the event of any discrepancy between the original and the copies, the original shall prevail.

2.4.3. If electronic copies of the proposal are required in accordance with GP 2.4.2, they shall be presented as unalterable and printable PDF files on CD or DVD disks, marked accordingly.

**2.5  
CLARIFICATION OF  
PREQUALIFICATION  
DOCUMENT**

2.5.1 Applicants may request a clarification of the Prequalification Document no later than fourteen (14) days prior to the deadline for the submission of Applications in accordance with GP 3.2.1. Any request for clarification shall be sent in writing to the address indicated in the **SP**. Responses shall be in writing and shall be sent to all prospective Applicants who have obtained the Prequalification Document directly from the Employer, including a description of the inquiry but without identifying its source, not later than seven (7) days prior to the deadline for the submission of Applications in accordance with GP 3.2.1.

2.5.2 If necessary, the Employer may send clarifications of the Prequalification Document to all prospective Applicants who have obtained the Prequalification Document directly from the Employer, not later than seven (7) days prior to the deadline for the submission of Application in accordance with GP 3.2.1.

**2.6  
AMENDMENT OF  
PREQUALIFICATION  
DOCUMENT**

2.6.1 At any time prior to the deadline for the submission of Applications but not later than seven (7) days before the submission date the Employer may amend the Prequalification Document by issuing an Addendum.

2.6.2 Any Addendum issued shall be part of the Prequalification Document and shall be communicated immediately in writing to all prospective Applicants who have obtained the Prequalification Document from the Employer.

2.6.3 To give Applicants reasonable time to take an Addendum into account in preparing their Applications, the Employer may, at its discretion, extend the deadline for the submission of Applications in accordance with GP 3.2.2.



### 3 SUBMISSION OF APPLICATIONS

#### 3.1 SEALING AND IDENTIFICATION OF APPLICATIONS

3.1.1 The Applicant shall enclose the original and the copies of the Application in a sealed envelope that shall:

- (a) bear the name and address of the Applicant;
- (b) be addressed to the Employer, in accordance with 3.2 below;
- (c) bear the project title and/or tender number;
- (d) bear the following words clearly visible „Not to be opened by the Postal Service - Prequalification for “ and the name of the assignment.

3.1.2 The Employer shall not be responsible for misplacement, losing or premature opening of the Application if the envelope is not sealed or marked in accordance with GP 3.1.1.

#### 3.2 DEADLINE FOR SUBMISSION OF APPLICATIONS, OPENING

3.2.1 Applicants may submit their Applications by mail, by courier or by hand, against confirmation of receipt. Applications shall be submitted by the Applicants at the address and no later than the deadline indicated in the **SP**. Any Application received by the Employer after the deadline shall be declared late and rejected, and promptly disposed of.

3.2.2 The Employer may, at its discretion, extend the deadline for the submission of Applications by amending the Prequalification Document in accordance with 2.5, in which case all rights and obligations of the Employer and the Applicants subject to the previous deadline shall thereafter be subject to the deadline as extended.

3.2.3 The preparation and the submission of the Applications is the responsibility of the Applicant and no relief or consideration can be given for errors and omissions.

3.2.4 If copies of the Application shall be sent to multiple addresses in accordance with 3.2.1, the timely receipt of the original Application in compliance with GP 3.2.1 shall be decisive for the timely submission of the Application.

3.2.5 The opening of the Applications received in accordance with GP 3.2.1 shall take place shortly after the submission date by the Employer's tender commission or the Employer's representative as indicated in **SP** 1.2.1. In any case the opening shall be undertaken in the presence of at least one witness, and a written opening protocol signed by all individuals present shall be established containing names and addresses of all Applications received, whether they have been received on time and sealed as per GP 3.1.1.

## 4 EVALUATION-PROCESS OF THE PREQUALIFICATION DOCUMENTS

### 4.1 CONFIDENTIALITY

4.1.1 After the opening of the Applications and until the announcement of the prequalification results to the Applicants no communication of any type between the Applicants and the Employer, its staff or any other person involved in the evaluation is permitted except as specified under 4.3.

4.1.2 Information relating to the Applications, their evaluation and result shall not be disclosed to Applicants or any other persons not officially concerned with the prequalification procedure until the Employer notifies the Applicants of the prequalification results.

### 4.2 EVALUATION

4.2.1 The Employer shall assess the Applications on the basis of their responsiveness to the requirements of this prequalification document by applying the following responsiveness criteria:

Responsiveness criteria	Evaluation
1. Declaration of Undertaking is submitted in accordance with GP 2.2.1(d)(IV)	Pass/Fail
2. Application Letter is submitted in accordance with GP 2.2.1(a)	Pass/Fail
3. Power(s) of Attorney authorizing the representative of the Applicant, designated in accordance with GP 1.4.5 to submit the Application on behalf of the Applicant, is submitted in accordance with GP 2.2.1(b)	Pass/Fail
4. Declaration of Submitting a Proposal in Case of Being Shortlisted is submitted in accordance with GP 2.2.1(d)(I)	Pass/Fail
5. If the Applicant is an association, either proof of the existing Association Agreement or a Declaration of Association are submitted in accordance with GP 2.2.1(d)(II)	Pass/Fail
6. Statement on Affiliated Firms is submitted in accordance with GP 2.2.1(d)(III)	Pass/Fail
7. Any additional documents are submitted in accordance with GP 2.2.1(e)	Pass/Fail

4.2.2 The Employer shall determine that an Application is non-responsive if,

(a) the Application has scored "Fail" in respect to

qualification criteria 1 and 2, or

(b) The Application has scored “Fail” in respect to more than two of the qualification criteria 3 – 8. In case the number of qualification criteria scored “Fail” is two or less the Applicant shall be allowed to correct or modify these criteria to meet the relevant requirement.

4.2.3 The Employer shall evaluate the responsive Applications in terms of the prequalification criteria indicated in the **SP** and award each responsive Application a prequalification score of up to 100 points.

4.2.4 For the purposes of scoring individual prequalification sub-criteria in accordance with 4.2.3 the Employer shall apply the following qualitative approach to each criteria:

(a) 100% of the max. score: Outstanding, if the Application substantially exceeds the requirement in accordance with the respective sub-criterion (exhaustive, conclusive, comprehensive, precise and further leading suggestion / idea / offering). No errors or omissions are noted.

(b) 75% of the max. score: Above average, if the Application meets or marginally exceeds the requirement in accordance with the respective sub-criterion (exhaustive, conclusive, comprehensive, precise). Minor errors or omissions noted;

(c) 50% of the max. score: Average, if the Application basically meets the requirement in accordance with the respective sub-criterion. Major errors or omissions noted;

(d) 25% of the max. score: Below average, if the Application substantially deviates from or indicates misunderstanding of the requirement in accordance with the respective sub-criterion. Major errors or omissions are noted comprising the fulfilment of the sub-criterion;

(e) 0 % of the max. score: Insufficient / Fail, if the Application does not meet the requirement at all in accordance with the respective sub-criterion or does not provide any information regarding the requirement.

4.2.5. The Employer shall reject an Application if,

(a) it has determined that the Application is nonresponsive in accordance with GPP 4.2.2

(b) it has awarded the Application a prequalification score, which is lower than the minimum prequalification score of 70 points out of 100.

4.2.6 The Employer shall establish a shortlist consisting of not more than five Applicants whose Applications were determined to be responsive and were awarded a prequalification score higher than the minimum prequalification score. If more than

five Applicants were awarded a prequalification score higher than the minimum prequalification score, the Employer shall shortlist only the five highest-scored Applicants.

4.2.7 The Employer shall inform all Applicants about the outcome of the prequalification process and invite the shortlisted Applicants to submit technical and financial proposals on the basis of a Request for Proposals.

**4.3  
EMPLOYER'S RIGHT TO  
ACCEPT OR REJECT  
APPLICATIONS**

4.3.1 The Employer reserves the right to accept or reject any Application, and to annul the prequalification process and reject all Applications at any time, without thereby incurring any liability to the Applicants.

4.3.2 The Employer is not bound to select any Applicant.

## **SPECIAL PROVISIONS (SP)**

(the references refer to the respective figures in the General Provisions)

### **1.1.1 EMPLOYER**

The Employer is: **The African Trade Insurance Agency**

The project name and reference number are: **implementation, testing, training and commissioning of RLSF Transparency Tool (TT) – BMZ Nr. 2016 70 386**

### **1.2.1 SELECTION OF THE CONSULTANT**

The Consultants shall be selected in accordance with: **the two stage international competitive bidding procedure in accordance with KfW Guidelines for Assignment of Consultants in Financial Cooperation with Partner Countries**. The tender procedure is carried out as follows:

The Employer's tender commission is composed of: **The Chief Executive Officer, The Chief Financial Officer, an independent professional staff or a management member who is neither part of the User Department nor a member of the Evaluation Committee, Admin/Procurement Officer.**

### **1.4.3 APPLICANTS**

The following conditions shall apply to the engagement of Sub-Consultants by the Applicant: **(i) a Sub-Consultant can be included in any number of proposals, (ii) Sub-Contracting costs should not exceed 25% of total proposed contract price.**

### **1.5.1 REQUESTED SERVICES**

The services requested under this assignment are as follows:

#### **1. Background and objective**

1.1. The Transparency Tool (TT) is part of a wider project, named Regional Liquidity Support Facility (RLSF), that ATI and KfW are launching to attract investments in the Renewable Energy sector in Africa. It will help to make the payment record of offtakers to Independent Power Producers (IPPs) more transparent and hopefully reduce the risk perception that investors and lenders have.

1.2. The TT will collect the invoice and payment records from independent power producers (IPP's) and possibly from the offtakers. The objective of the TT is to process the records of payments and receivables and to share them with utilities (the offtakers), the participating IPP's, investors and the general public in various levels of detail.

1.3. The main users of the TT will be:

- 1.3.1. Independent Power Producers (IPP's), who sell their power to the offtaker.
- 1.3.2. Other suppliers, who sell goods and services to the offtaker (ex. Steam, fuel or gas)

- 1.3.3. Offtakers of Power (or other organisations that have to pay suppliers), usually state owned entities or private companies under a concession agreement with the government
  - 1.3.4. ATI staff
  - 1.3.5. Banks, ministries and other parties that have received the approval to access the TT
- 1.4. The objective is to develop and implement a user-friendly (on-line) Transparency Tool (TT) that will allow input of data and the retrieval of reports that will be automatically generated.
- 1.5. The TT will provide an interface with the accounting system of the IPP, through which the Independent Power Producers (IPP) can upload invoicing and payment data. Alternatively the data will be uploaded from a spreadsheet prepared by the IPP.
- 1.6. The contracted Consultant will be required to perform the following tasks:
- 1.6.1. Develop the TT according to the specifications detailed specifications to be provided in the Request for Proposals document
  - 1.6.2. Maintain the TT and resolve any technical problems
  - 1.6.3. Make changes to the Tool according to specifications
  - 1.6.4. Ensure the quality and consistency of the data
  - 1.6.5. Provide licenses where necessary
  - 1.6.6. Host the TT on its own servers (optional)
  - 1.6.7. Provide training and end user support to the users

## **2.2.1 DOCUMENTS COMPRISING THE APPLICATION**

(d)(v) Not applicable

(e) No additional requirements

## **2.4.2 SIGNING OF THE APPLICATION AND THE NUMBER OF COPIES**

In addition to the original Application document **four (4)** hard copies shall be submitted.

## **2.5.1 CLARIFICATION OF PREQUALIFICATION DOCUMENT**

The address for any clarifications regarding this application is as follows:

**Jef Vincent, email: [jef.vincent@ati-aca.org](mailto:jef.vincent@ati-aca.org) and copy [procurement@ati-aca.org](mailto:procurement@ati-aca.org) , Fax No. +254 20 271 9701**

## **3.2.1 DEADLINE FOR SUBMISSION OF APPLICATIONS**

The original Application and four (4) copies of the Application shall be submitted at the following address:

**African Trade Insurance Agency, 5<sup>th</sup> floor, Kenya Re Towers, Upperhill, P.O. Box 10620-00100, Nairobi, Kenya.**

The original Application shall be submitted at the above address on or before **24<sup>th</sup> October 2017**.

**Four (4) copies** of the Application shall be submitted at the following address: **as above**

## 4.2 EVALUATION

4.2.3 The Employer shall evaluate the Applications determined to be responsive in accordance with GP 4.2.2 in accordance with the following criteria, sub-criteria and point system:

Qualification criteria	Maximum Score
1. Applicant's Experience	60
1.1 Experience in implementing similar projects Past experience shall be considered similar if it includes the following elements: development/implementation of credit management software that meets requirements in 1.5.1. This sub-criterion is evaluated on the basis of the project references submitted in accordance with GP 2.2.1(d)(VI).	30
1.2 Availability of an existing multilingual application that <ul style="list-style-type: none"> <li>• is web based (data input and retrieval of reports)</li> <li>• records invoicing and payment experiences with multiple parties in multiple currencies and</li> <li>• uses the records to produce both detailed and aggregate reports, including historical trends.</li> </ul> This sub-criterion is evaluated on the basis of the project references submitted in accordance with GP 2.2.1(d)(VI), bidders should therefore include comments when completing annex vi.	30
2. Applicant's Capabilities	40
2.1 Qualitative assessment of the Applicant's available Expertise The quality of the expertise appropriate for the project team profiles described in GP 1.5.1, to which the Applicant has access. This sub-criterion is evaluated on the basis of the list submitted in accordance with GP 2.2.1(d)(VII).	20
2.2 Quantitative assessment of the Applicant's Human Resource Capacity The extent to which the Applicant has access to personnel appropriate for the tasks described in GP 1.5.1. This sub-criterion is evaluated on the basis of the List submitted in accordance with GP 2.2.1(d)(VII).	15
3. Is the Application concise and related to the project?	5
<b>Overall Total Score</b>	<b>100</b>

## **Annex I – Sample Declaration of Submitting a Proposal in Case of Being Shortlisted**

### **Declaration of Submitting a Proposal in Case of Being Shortlisted**

Project (name and country):

Tender Ref./ Project ID:

We hereby declare that in the event that *[insert the name of the Applicant]* is shortlisted by the Employer to participate in the tendering phase for the assignment named above, *[insert the name of the Applicant]* shall submit a proposal, subject to the details of the tender documentation, and technical and financial practicability.

*[Insert the following text if the Application includes one or several Sub-Consultants, whose qualifications should be considered by the Employer in the pre-qualification process:*

“We request that the qualifications of the following Sub-Consultant(s) shall be considered by the Employer in the pre-qualification process,

*[List Sub-Consultants here]*

If short-listed, we undertake to submit a proposal that includes all of the above Sub-Consultants.”

*[Signature of the authorised representative of the Applicant, designated in accordance with GP 1.4.5]*



## Annex II - Sample Declaration of Association

### Declaration of Association

Project (name and country):

Tender Ref./ Project ID:

We hereby declare our intent to associate with the following firms for the purpose of forming a *[insert here "joint venture" or "consortium"]*:

*[Insert the names of the other association members here]*

*[Insert the name of the Lead Consultant]* shall be the Lead Consultant.

We hereby confirm that we have not associated with any other firms for the purposes of this assignment and that we will not submit an application separately from the firms listed above. Further, we understand that if a Consultant appears as an associate in more than one Application, all Applications in which the Consultant appears shall be disqualified.

In the event that this association is awarded a Contract, we shall perform the services in the composition and in the form of cooperation described above.

*[Signature of the authorised representative of the Applicant, designated in accordance with GP 1.4.5]*

## Annex III – Sample Declaration on Affiliated Firms

### Declaration on Affiliated Firms

Project (name and country):

Tender Ref./ Project ID:

We hereby declare that *[insert the name of the entity submitting the declaration]* is an independent consulting firm. We do not have any links, other than existing or future cooperation agreements in the field of *[insert the main field of the entity's work]*, with other firms which may be interested in the execution of the project.

Should we, or the association in which we are members, be awarded the contract, the entities with which we are affiliated, other than the associates or the sub-consultants for this assignment, shall not take part in the project in any other form or reveal information gained during the assignment concerned.

*[Signature of the authorised representative of the Applicant, designated in accordance with GP 1.4.5]*

## **Annex IV – Declaration of Undertaking**

### **Declaration of Undertaking**

Project (name and country):

Tender Ref./ Project ID:

We underscore the importance of a free, fair and competitive procurement process that precludes abusive practices. In this respect we have neither offered nor granted directly or indirectly any inadmissible advantages to any public servant or other person nor accepted such advantages in connection with our bid, nor will we offer or grant or accept any such incentives or conditions in the present procurement process or, in the event that we are awarded the contract, in the subsequent execution of the contract. We also declare that no conflict of interest exists in the meaning of the kind described in the pertinent Guidelines.

We also underscore the importance of adhering to environmental and social standards in the implementation of the project. We undertake to comply with applicable labour laws and the Core Labour Standards of the International Labour Organization (ILO) as well as national and applicable international standards of environmental protection and health and safety standards.

We will inform our staff about their respective obligations and about their obligation to fulfil this declaration of undertaking and to obey the laws of the country of @ (name of country).

We also declare that our company/all members of the consortium has/have not been included in the list of sanctions of the United Nations, nor of the EU, nor of the German Government, nor in any other list of sanctions and affirm that our company/all members of the consortium will immediately inform the client and KfW if this situation should occur at a later stage.

We acknowledge that, in the event that our company (or a member of the consortium) is added to a list of sanctions that is legally binding upon the client and/or KfW, the client is entitled to exclude our company/the consortium from the procurement procedure and, if the contract is awarded to our company/the consortium, to terminate the contract immediately if the statements made in the Declaration of Undertaking were objectively false or the reason for exclusion occurs after the Declaration of Undertaking has been issued.

*[Signature of the authorised representative of the Applicant, designated in accordance with GP 1.4.5]*

## Annex V – Financial Capacity Statement

Financial data	2 years before last year <sup>i</sup> EUR	Year before last year EUR	Last year EUR	Average <sup>ii</sup> EUR	This year EUR
Annual turnover <sup>iii</sup> , excluding this contract					
Current Assets <sup>iv</sup>					
Current Liabilities <sup>v</sup>					

**Bidders are advised that this annex is not applicable under this procurement**

<sup>i</sup> Last year is the last accounting year for entity.

<sup>ii</sup> Amounts entered in the 'Average' column shall be the mathematical average of the amounts entered in the three preceding columns of the same row.

<sup>iii</sup> The gross inflow of economic benefits (cash, receivables, other assets) generated from the ordinary operating activities of the enterprise (such as sales of goods, sales of services, interest, royalties, and dividends) during the year.

<sup>iv</sup> A balance sheet account that represents the value of all assets that are reasonably expected to be converted into cash within one year in the normal course of business. Current assets include cash, accounts receivable, inventory, marketable securities, prepaid expenses and other liquid assets that can be readily converted to cash.

<sup>v</sup> A company's debts or obligations that are due within one year. Current liabilities appear on the company's balance sheet and include short term debt, accounts payable, accrued liabilities and other debts.

## Annex VI – Project Experience

Ref no:	Project title							
Name of legal entity (declaring consultant)	Project Country	Overall project value (EUR)*	Proportion carried out by the legal entity (%) <sup>*</sup>	Provided staff input (person months)	Name of client	Origin of funding	Dates (start/end)	Name of association members, if any
...	...	...	...	...	...	...	...	...
Detailed description of project (background, objectives and main activities)						Services provided by the legal entity for the project		
...						...		

\* If the overall project value refers to overall project cost inclusive of Consulting services please indicate the consulting fee separately. The portion carried out by the legal entity refers to that figure.

## Annex VII – List of Available Expertise and Human Resource Capacity

### 1. Access to Expertise Required for the Assignment

Complete the list below to demonstrate the extent to which you have access (internally / externally) to expertise required for this assignment / for the project team profiles described in GP 1.5.1. Include home-office project management / administration and backs-stopping personnel. Include freelance personnel and sub-consultant staff, if applicable (see Declaration in Annexe I). Do not attach CVs as no detailed evaluation of candidates for the project team shall be carried out at the prequalification stage. The Applicant shall not present a potential project team. The focus is on access and availability to project relevant expertise. It is understood that prequalified Applicants are not required to include staff named below into the proposal.

Name	Project team profile / areas of required expertise as per GP / SP 1.5.1 <sup>2</sup>	Education/ Degree	Years of Professional Experience	Relationship with / Years within the Applicant <sup>3</sup>	Country/ Regional Experience	Relevant Project References (Description of project-related experience)	Languages

<sup>2</sup> The project team profiles should be identical to the project team profiles listed in GP / SP 1.5.1. The information provided in the “Education/Degree” and “Relevant Project References) should demonstrate that the expert’s core specialization is appropriate for the respective project profile.

<sup>3</sup> For freelance experts (e.g. with retainer contracts or formal agreements) indicate “FE” and how long the expert has been associated with the Applicant. For sub-consultant staff indicate “Sub”. Staff from affiliated firms of the Applicant shall be considered as sub-consultant staff.

## Annex VII – List of Available Expertise and Human Resource Capacity

### 2. Human Resource Capacity

Complete the list below to demonstrate the permanent staff available in the areas of expertise required in this assignment as described in GP / SP 1.5.1. The focus here is on the Applicants human resource capacity and breadth in relation to the required expert services.

Departments / Divisions in the firm relevant to the project team profile / areas of required expertise as per GP / SP 1.5.1	Staff		Total staff appropriate for the specialisation
	Permanent staff in the Applicants firm	Freelance staff	

Total staff number of the Applicant			
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Please substantiate above statements with an organizational chart(s) of the firm or the relevant parts of the firm.