



German Financial Cooperation with the Republic of India

Credit Guarantee Facility (CGF) to enhance solar rooftop for MSMEs

BMZ No.: 202068864

Prequalification for Consulting Services

Implementation Consultant

KfW Procurement No: 509490

**Employer:
Credit Guarantee Trust Fund for Micro and Small
Enterprises (CGTSME)**

14 March 2023

List of Content

PREFACE	1
SECTION I – GENERAL PROVISIONS (GP)	3
SECTION II – SPECIAL PROVISIONS (SP)	16
SECTION III – APPLICATION FORMS	25
SECTION IV – ELIGIBILITY CRITERIA	37
SECTION V – KFW POLICY – SANCTIONABLE PRACTICE – SOCIAL AND ENVIRONMENTAL RESPONSIBILITY	39

Preface

1. Background

In order to achieve its long-term goal of net zero emissions by 2070, the Government of India (GoI) seeks to increase the power generation capacity from renewable energies to 175 gigawatt (GW) by 2030. Specifically, 100 GW is to be generated from solar energy and 40 GW thereof from rooftop solar installations. So far, solar rooftop (SRT) systems are mainly used by large companies. Micro, Small, and Medium Enterprises (MSMEs), however, are lagging behind in this development and have not yet benefited from solar initiatives and financing programs.

Despite the high potential of SRT among MSMEs, the market has hardly been tapped so far. For banks and other financial institutions (FI) (supply side), granting loans to MSMEs with a rating below investment grade in general, and for SRT in particular, is linked with high risks and costs. The willingness to do so is therefore low. Consequently, MSMEs lack access to necessary financial resources to finance additional investments outside their core business and the installation of SRT is therefore de-prioritized. The low creditworthiness of many MSMEs also limits the installation of SRT through third-party providers (Renewable Energy Service Companies (RESCOs)/developers) or leasing, as they are also denied access to credit for this purpose. Limited access to financing for MSMEs with no or below investment grade rating for SRT installation therefore represents the core problem. In addition, barriers arise on the demand side, as many MSMEs lack awareness of the economic profitability of these investments due to a lack of information, also on quality aspects.

The potential of SRT in the MSME sector, however, is enormous. There are over 200 energy-intensive MSME production clusters in India. These clusters are local associations of sometimes several hundred manufacturing MSMEs. The energy consumption of these clusters is estimated to be equivalent to 50 million tons of oil per year. Air pollution in these clusters is among the highest in the country. Especially MSMEs in energy intensive manufacturing businesses could benefit from reduced energy costs. It is estimated that the MSME sector holds a potential of 16 to 18 GW of SRT. Creating access to SRT for MSMEs by providing a guarantee to financing institutions could make a major contribution to reaching India's renewable energy and SRT targets, fostering environmentally friendly energy creation.

To scale-up lending for SRT in the MSME sector, the financial bottleneck must be tackled. According to financial sector experts, MSMEs with no or a low credit rating often fail to repay their installments on time. Delayed loan repayments are caused, among other things, by the cyclical nature of MSMEs' businesses. This implies significant additional costs for FIs due to the high reserves which are required in these cases as a result of regulatory banking requirements.

A credit guarantee facility (CGF) is a suitable instrument to address this financial barrier by mitigating the high credit risks for FIs and thus facilitating access to credit for MSMEs. Through the use of a CGF, a pre-defined share of the FIs' risk is covered. It is assumed that the project will have a positive impact on the sustainable development of the financing of the SRT market for MSMEs, as the project-induced loans will generate (previously non-existent) data on the actual loan default rates in this segment. By obtaining real market data on the creditworthiness of MSMEs and learning experiences of FIs in lending to SRT, it is expected that FIs will have the necessary expertise and sufficient information to serve the segment without a guarantee in the long run.

2. Objective of the Project

The principal objective of the Project is therefore to improve access to credit for SRT installations on MSMEs, thereby promoting the renewable energy development of MSMEs. The mid to long term goal is further to enhance the availability of data on MSME lending, supporting FIs in determining the price structure of loans based on real market behavior and thereby facilitating the market development. Ultimately, the project also contributes to a broad-based ecologically sustainable and technically and economically efficient electricity supply in India.

The proposed CGF for SRT on MSMEs will provide partial credit guarantees of initially up to 50% to Partner Finance Institutions (PFIs) providing loans for SRT to either MSMEs or developers/RESCOs. The guarantees shall accordingly be used to finance SRT for MSMEs under

different business models. The CGF will be set up and managed by the Credit Guarantee Fund Trust for Micro and Small Enterprises (CGTMSE). Financing will be provided by KfW and World Bank (WB). KfW is providing grant funds worth 21 million EUR to capitalize the CGF plus further funding for a variety of Consultancy Services. WB plans to provide an IBRD Guarantee of USD 100 million to leverage the CGF. KfW and WB will monitor the progress and the implementation of agreed standards and regulations of the project through regular review missions and project progress reports. KfW financing will be dedicated to setting up the CGF scheme, as well as supporting its implementation and pipeline building.

3. The Employer

The Employer/Project Executing Agency (PEA) is the Credit Guarantee Trust Fund for Micro and Small Enterprises (CGTSMSE) based in Mumbai.

4. Scope of Services

An Implementation Consultant shall support the PEA in reaching the objectives of the Project. The Consultant is expected to conduct the following tasks but may not be limited to these.

- 1) Setting up and managing the CGF
- 2) Setting up and implement the Environmental and Social Management System (ESMS),
- 3) Setting up and implement compliance processes
- 4) Developing standard documents for the PFIs and a dedicated homepage with key information
- 5) Providing technical standards for SRT and conducting technical quality checks on selected sub-projects
- 6) Developing and implementing awareness-raising activities, the portfolio and application processes for the lenders (PFIs)
- 7) Identifying existing non-financial barriers to SRT in the MSME sector and to develop and pilot concrete solutions
- 8) Identifying MSME pilot cluster and advising MSMEs on SRT, amongst other pipeline building activities
- 9) Reporting and monitoring

More details on the scope of the Services are provided in SP 1.6.

SECTION I – GENERAL PROVISIONS (GP)

1. General

1.1 SCOPE OF APPLICATIONS AND DEFINITIONS

- 1.1.1 In connection with the Invitation for Prequalification indicated in Section II, Specific Provisions (**SP**), the Employer, as defined in the **SP**, issues this Prequalification Document (“Prequalification Document”) to prospective applicants (“Applicants”) interested in submitting applications (“Applications”) for prequalification to bid for the assignment described in SP 1.6.
- 1.1.2 The Employer as indicated in the **SP** has applied for or received financing (hereinafter called “funds”) from KfW Development Bank (hereinafter called “KfW”) towards the cost of the project named in the **SP**. The Employer intends to apply a portion of the funds to eligible payments under the Contract(s) resulting from the procurement process.
- 1.1.3 The following definitions apply:
- (a) “Affiliate(s)” means an entity that directly or indirectly controls, is controlled by, or is under common control with the Consultant
 - (b) “Applicable Law” means the laws and any other instruments having the force of law in the Employer’s country, or in such other country as may be specified in the **SP**, as they may be issued and in force from time to time.
 - (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. The term “Consultant” and “Applicant” are used in this document interchangeably.
 - (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 Contract¹.
 - (h) “Government” means the government of the Employer’s country.
 - (i) “Guidelines” means Guidelines for the Procurement of Consulting Services, Works, Goods, Plant and Non-Consulting Services in Financial Cooperation with Partner Countries available at www.kfw-entwicklungsbank.de.

¹ The term *Employer* in this document shall have the same meaning as the terms *Client* and *Project Executing Agency* in the Guidelines

- (j) “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.
- (k) “Services” means the work to be performed by the Consultant pursuant to the Contract.
- (l) “Sub-Consultant” means an entity to which 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.
- (m) “Special Provisions (SP)” means an integral part of this Prequalification Document that is used to reflect specific country and project conditions to supplement the General Provisions. In case of conflict between the GP and the SP, the SP shall prevail.

1.2 SELECTION OF THE CONSULTANT AND PREQUALIFICA- TION PROCEDURE

- 1.2.1 To execute the project, the Employer intends to select one or several Consultants in accordance with the Guidelines. The evaluation commission of the Employer may be assisted by a tender agent or in exceptional cases a tender agent may conduct the entire tender procedure on behalf of the Employer. KfW’s monitoring and no-objection is not affected. The details are outlined in the **SP**.
- 1.2.2 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 4.2.5 to participate in the subsequent tendering procedure.
- 1.2.3 The procurement process is the responsibility of the Employer. KfW shall verify that the procurement process is fair, transparent, economical, free of discrimination and according to the provisions in this document. KfW exercises its monitoring function on the basis of the contractual arrangements with the Employer and the Guidelines containing details for KfW’s approval and no objection to individual steps during the procurement process. No contractual relationship between KfW and any third party shall be deemed to exist other than with the Employer.

1.3 SANCTIONABLE PRACTICE

- 1.3.1 KfW requires compliance with its policy in regard to Sanctionable Practice as defined and set forth in Section V.
- 1.3.2 In further pursuance of this policy, Applicants shall permit and shall cause its agents to provide information and permit KfW or an agent appointed by KfW to inspect on site all accounts, records and other documents relating to the procurement process and Contract performance (in the case of award), and to have them audited by auditors or agents appointed by KfW.

1.4 ELIGIBLE APPLICANTS

- 1.4.1 An Applicant may be a firm that is a private entity, a government-owned entity — subject to Section IV – or a combination of such entities in the form of a Joint Venture (“JV”) under an existing JV

Agreement or with the intent to enter into such an agreement supported by Declarations of Association. In the case of a JV, all members shall be jointly and severally liable for the execution of the Contract in accordance with the Contract terms. An Application may include Sub-Consultants, whose relationship with the Applicant is contractual, and who are not held jointly and severally liable for the execution of the Contract. The Applicant shall nominate an authorized representative who shall have the authority to conduct all business for and on behalf of the Applicant and any and all its members, if the Applicant is a JV, during the prequalification process, procurement process (in the event the Applicant submits a Proposal) and during Contract execution (in the event the Applicant is awarded the Contract). Unless specified in the **SP**, there is no limit on the number of members in a JV. The authorization shall be in the form of a written power of attorney attached to the Technical Proposal.

- 1.4.2 Applicants including their Affiliates and, in case of JVs, any of their members, may participate in only one Application. Sub-Consultants whose qualifications are used in the evaluation of at least one Application, pursuant to the Applicant's request made in accordance with Form 2 (Declaration on Conflict of Interest and of Submitting a Proposal), may only participate in the respective Application. Sub-Consultants, whose qualifications are not used in the evaluation of any Application, may participate in more than one Application. Applications submitted in violation of this procedure will be rejected.
- 1.4.3 It is the Consultant's responsibility to ensure that its staff, Joint Venture members, Sub-Consultants, agents (declared or not), sub-contractors, service providers, suppliers and/or their employees meet the requirements on eligibility and conflict of interest as established hereunder.
- 1.4.4 KfW's eligibility criteria for prequalification are described in Section IV, Eligibility Criteria.
- 1.4.5 An Applicant shall provide such evidence of eligibility satisfactory to the Employer, as the Employer shall reasonably request.
- 1.4.6 The materials, equipment and Services to be supplied under the Contract and financed by KfW may have their origin in any country subject to the restrictions specified in Section IV Eligibility Criteria, and all expenditures under the Contract will not contravene such restrictions.
- 1.5.1 The Consultant is required to provide professional, objective, and impartial advice, at all times holding the Employer's interests paramount, strictly avoiding conflicts with other assignments or its own corporate interests, and acting without any consideration for future work.
- 1.5.2 Applicants shall be disqualified if they:
 - (a) are an Affiliate controlled by the PEA or a shareholder controlling the PEA, unless the stemming conflict of interest has been brought to the attention of KfW and has been fully resolved to the satisfaction of KfW;

1.5 CONFLICT OF INTEREST

- (b) have a business or a family relationship with a PEA's staff involved in the tender process or the supervision of the resulting Contract, unless the stemming conflict of interest has been brought to the attention of KfW and resolved to its satisfaction;
- (c) are controlled by or do control another Applicant or are under common control with another Applicant, receive from or grant subsidies directly or indirectly to another Applicant, have the same legal representative as another Applicant, maintain direct or indirect contacts with another Applicant which allow them to have or give access to information contained in the respective Applications, to influence them or influence the decisions of the PEA;
- (d) are engaged in a Services activity which, by its nature, may be in conflict with the assignment that they would carry out for the PEA;
- (e) were directly involved in drawing up the terms of reference or other relevant information for the tender process. This shall not apply to Consultants who have produced preparatory studies for the project or who were involved in a preceding project phase, insofar as the information they prepared, especially feasibility studies, was made available to all Applicants and the preparation of the terms of reference was not part of the activity;
- (f) were during the last 12 months prior to publication of the tender process indirectly or directly linked to the project in question through employment as a staff member or advisor to the PEA, and are or were able in this connection to influence the Award of Contract.

1.5.3 The Consultant has an obligation to disclose to the Employer any situation of actual or potential conflict that impacts its capacity to serve the best interest of its Employer. Failure to disclose such situations may lead to the disqualification of the Consultant or the termination of its Contract.

1.6 REQUESTED SERVICES

1.6.1 A brief description of the requested consulting Services is presented in the **SP**.

2. Contents and Preparation of the Application

2.1 PREQUALIFICATION DOCUMENT AND COMMUNICATION

- 2.1.1 These Prequalification Documents consist of the sections indicated below, which should be read in conjunction with any Addendum issued in accordance with clause 2.6.

Section I - General Provisions (GP);

Section II - Special Provisions (SP);

Section III - Application Forms:

Form 1: Declaration of Undertaking;

Form 2: Sample Declaration on Conflict of Interest and of Submitting a Proposal;

Form 3: Sample Declaration of Association;

Form 4: Financial Capacity Statement;

Form 5: Project Experience;

Form 6: List of Available Expertise and Human Resource Capacity;

Section IV - KfW Eligibility Criteria;

Section V - KfW Policy – Sanctionable Practice – Social and Environmental Responsibility.

- 2.1.2 Unless obtained directly from the Employer, the Employer accepts no responsibility for the completeness of the Prequalification Documents, responses to requests for clarification, or Addenda in accordance with GP 2.6. In case of any discrepancies, documents issued directly by the Employer shall prevail.

- 2.1.3 The Applicant is expected to examine all instructions, forms, and terms in the Prequalification Documents and to furnish with its Application all information or documentation as is required by the Prequalification Documents.

- 2.1.4 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.

- 2.1.5 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 a JV, the Application Letter shall also describe the form of association and list the JV members.

(b) A Power of Attorney authorizing the representative of the Applicant, designated in accordance with GP 1.4.1 to submit the

Application on behalf of the Applicant. If the Applicant is a Joint Venture, the Power of Attorney shall be provided by the Lead Consultant nominated in the JV 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 a JV, the presentation shall provide this information about each JV member as well as a description of the intended form of collaboration of the members within the JV.

(d) Statements and Declarations:

I. Declaration of Undertaking in the format provided in Section III.

II. Declaration on Conflict of Interest and of Submitting a Proposal in the format provided in Section III.

III. If the Applicant is an existing JV, the Applicant shall submit a proof of the existing JV Agreement, indicating the Lead Consultant. If the Applicant is a JV, which the members intend to form for the purpose of executing the Contract, each member of the JV shall submit a Declaration of Association, indicating the Lead Consultant, in the format provided in Section III.

IV. Statement on conflict of interest as per GP 1.5 is part of the declaration as per (d) ii. above. If the Applicant is a JV, separate statements shall be provided by each member of the JV.

V. Financial Capacity Statement in the format provided in Section III and supported by the Applicant's balance sheets and profit and loss Statements. If the Applicant is a JV, separate statements, including the supporting Balance Sheets and Profit and Loss Statements, shall be provided by each member of the JV. 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 Section III. The number and timing requirements towards the project references shall be specified in the **SP**. 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 Section III.

(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 1.4.1.
- 2.3
COST OF
APPLICATION**
- 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 1.4.1. If the Applicant is a JV, the statements and declarations submitted by the members of the JV 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
PREQUALIFICA-
TION DOCUMENT**
- 2.5.1 Applicants may request a clarification of the Prequalification Document until the deadline indicated in the **SP**. Any request for clarification shall be sent in writing or by standard electronic means to the address indicated in the **SP**. Responses shall be in writing or by standard electronic means 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 ten (10) 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 ten (10) Days prior to the deadline for the submission of Application in accordance with GP 3.2.1.
- 2.6
AMENDMENT OF
PREQUALIFICA-
TION DOCUMENT**
- 2.6.1 At any time prior to the deadline for the submission of Applications but not later than ten (10) Days before the submission date the Employer may amend the Prequalification Document by issuing an Addendum.
- 2.6.2 Any Amendment 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 Amendment 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 GP 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. The disposal of original late Applications shall be obligatorily documented in a late Applications protocol, which shall be provided to KfW as part of the opening protocol prepared in accordance with GP 3.2.7 and to the entity, which has submitted the late Application.

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 GP 2.6, 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 GP 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 Employer's evaluation commission as detailed in **SP** 1.2.1 shall proceed with the opening of the Applications shortly after the submission deadline as indicated in the **SP** and establish and sign an opening protocol as per GP 3.2.7.

- 3.2.6 Unless otherwise agreed the Employer's evaluation commission shall be composed of at least three members. One member of the Evaluation commission shall not be staff from the Employer's administration or organisation.

- 3.2.7 At the opening of the Applications the following shall be recorded in the opening protocol: the name and business address of the

Applicant or, in case of a Joint Venture, the name and business address of the Joint Venture, the name and business address of the lead member and the names and business addresses of all members; the presence or absence of the Declaration of Undertaking whether they have been received on time and sealed as per GP 3.1.1. and any other information deemed appropriate or as indicated in the **SP**.

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 GP 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 reject an Application that is not substantially responsive to the requirements of this Prequalification Document. In particular, an Application failing to demonstrate that the Applicant fulfils the financial capability requirements set out in the **SP** or lacking the following documents shall be considered not substantially responsive:
- a) Declaration of Undertaking (Form 1)
 - b) Financial Capability Statements and supporting documentation as required (Form 4)
 - c) Declaration on Conflict of Interest and on Submitting a Proposal (Form 2)
 - d) Power(s) of Attorney authorizing the representative of the Applicant
 - e) If the Applicant is a JV, either proof of the existing Association Agreement or a Declaration of Association (Form 3)
- 4.2.2 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.
- 4.2.3 For the purposes of scoring individual prequalification sub-criteria in accordance with GP 4.2.2 the Employer shall apply the following qualitative approach to each criteria:
- a) 100% of the max. score: Excellent, no errors or omissions at all are noted. Exhaustive, conclusive, comprehensive, precise and further leading suggestion / idea / offering with respect to the sub-criterion.
 - b) 75% of the max. score: Good, minimal errors or omissions noted. Exhaustive, conclusive, comprehensive and precise with respect to the sub-criterion.
 - c) 50% of the max. score: Unsatisfactory, major errors or omissions noted not comprising the fulfilment of the sub-criterion, basically meets the requirement of the respective sub-criterion.

- d) 25% of the max. score: Poor, major errors or omissions are noted comprising the fulfilment of the sub-criterion, substantially deviates from or indicates misunderstanding of the requirement of the respective sub-criterion.
- e) 0 % of the max. score: Insufficient / Fail, does not meet the requirement of the respective sub-criterion at all or does not provide any information regarding the requirement of the sub-criterion

4.2.4. The Employer shall reject an Application if,

- (a) it has determined that the Application is nonresponsive in accordance with GP 4.2.1;
- (b) it has awarded the Application a prequalification score, which is lower than the minimum prequalification score of 70 points out of 100. Depending on the nature of the assignment a minimum score may be applied not only to the overall score but also to the achievement of a subscore dedicated to environmental, social, health and safety (ESHS) issues, if specified so in the Special Provisions (SP).

4.2.5 The Employer shall establish a shortlist of qualified Applications determined to be responsive and scoring higher than the minimum prequalification score. The number of Applicants to be invited is generally five (5) but could be increased up to eight (8) if required and subject to prior indication in the SP. However, if the number of prequalified Applicants exceeds this predefined number Applicants will be invited as per their ranking.

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 Application.

4.4 NOTIFICATION OF PREQUALIFICA- TION AND PUBLICATION

- 4.4.1 The Employer shall notify all Applicants in writing on the outcome of evaluation shortly after the finalisation of the evaluation.
- 4.4.2 In addition, the Employer shall publish the list of prequalified Applicants (including all JV members, if any) who will be invited to submit an Offer (prequalification-result notice), after KfW's No-Objection to the prequalification evaluation report on GTAI's website and in any other media in which the prequalification notice was published.
- 4.4.3 Applicants that have not been prequalified may write to the Employer to request, in writing, the grounds on which they were not qualified.
- 4.4.4 Upon such a request the Employer will inform such Applicants on the major shortcomings and weaknesses of their Application.

**4.5
REQUEST FOR
PROPOSAL**

- 4.5.1 Promptly after the notification of the results of the prequalification, the Employer shall invite the prequalified Applicants to submit their Proposals.

SECTION II – SPECIAL PROVISIONS (SP)

1.1.1 EMPLOYER

The Employer is:

**Credit Guarantee Fund Trust for Micro and Small Enterprises (CGTMSE)
1st Floor, SIDBI, Swavalamban Bhavan,
C-11, G-Block, BKC, Bandra (East), Mumbai
India**

The Project name and reference number are:

**Project: Credit Guarantee Facility (CGF)
to enhance solar rooftop for MSMEs
BMZ No. 202068864
KfW Procurement ID: 509490**

The prerequisites for disbursements for this assignment are not yet finalised. Any contractual commitment related to this tender procedure is subject to the readiness of disbursement of funds for this assignment.

1.2.1 SELECTION OF THE CONSULTANT

This Prequalification for Consulting Services will be guided by the latest version of KfW's „Guidelines for the Procurement of Consulting Services, Works, Plant, Goods and Non-Consulting Services in Financial Cooperation with Partner Countries” (2021 / available at www.kfw-entwicklungsbank.de) (the “Guidelines”).

The Employer is supported in this tender procedure by a Tender Agent (René Meyer, tender@renemeyer.org). The tender agent seeks approval for final decisions.

1.4.1 APPLICANTS

The following conditions shall apply to the engagement of JV members through the Applicant:

The maximum number of members in a Joint Venture shall be three (3).

1.6 REQUESTED SERVICES

a. SERVICES

The Services solicited will include, but not be limited to, support CGTMSE in the following areas:

- i. Setting up of the CGF operational procedures, roles and responsibilities, and developing the operational manual including:
 1. elaborate governance structure of the CGF including detailed roles and responsibilities of CGTMSE management and of the engaged stakeholders, procedures (including accounting) and interactions
 2. elaborate guarantee management, starting from the definition of the eligibility criteria (e.g. technical, E&S, compliance) and the registration of PFIs up to master guarantee agreements, including guarantee conditions, payment conditions, etc
- ii. Analyze the current planning and budgeting system of CGTMSE and implement improvements
- iii. Set up a compliance system and integrate it into CGTMSEs systems and providing training and support to CGTMSEs staff
- iv. Set up and implement Compliance structures and processes to fulfil the standards of international financiers
- v. Set up and implement an Environmental and Social Management System (ESMS and provide support in implementing the ESMS (in line with the KfW standards) within the structures and processes of CGTMSE
- vi. Development and implementation of standards and technical quality requirements for SRT. Support training or other capacity building activities for quality requirements of SRT, develop minimal technical standards for SRT and perform periodical technical controls of the installed panels
- vii. Developing and setting up a coherent M&E system that complies with KfW requirements, collect data and monitor key performance indicators
- viii. Review the current IT-based guarantee management system, propose improvements and accompany the implementation of these by CGTMSE and their IT providers. In addition, provide other IT strengthening as required.
- ix. Conceptualize and provide trainings to PFIs and support these with pipeline and portfolio creation
- x. Develop checklists and documents for the PFIs to register under the scheme
- xi. Support CGTMSE in the day-to-day implementation of the guarantee scheme
- xii. Active pipeline building in the MSME clusters in cooperation with the PFIs
- xiii. Support CGTMSE in procurement processes according to KfW procurement guidelines
- xiv. Conceptualize and implement public relations establish and manage a website that informs about the guarantees, the eligibility criteria, guarantee conditions, registration and application procedures, grievance mechanism etc.
- xv. Assist the PEA in project and financial management including reporting to KfW.

The complete list of tasks will be provided to shortlisted Bidders in the Terms of Reference (ToR).

The Services shall be performed in India and from the home office of the Consultant.

b. REQUIRED EXPERTISES

The Services are to be provided by a team of experts with expertise and experience in the following areas:

- i. Development / management of credit guarantee facilities / funds
- ii. Analysis of business processes of financial institutions
- iii. Organizational and capacity development for financial institutions and change management
- iv. Corporate compliance systems for financial institutions
- v. Environmental and Social Management System (ESMS) for financial institutions in accordance with KfW Sustainability Guidelines / WB ESF
- vi. Monitoring ESHS impacts and risks for financial institutions
- vii. Engineering of Solar Roof Top (SRT)
- viii. SRT business models
- ix. Monitoring & Evaluation (M&E) of IFI/MDB financed projects and programs in the MSME sector including development of log frames / KPIs
- x. IT systems for financial institutions including organization of data consolidation
- xi. IT based Guarantee Management Systems
- xii. Public relations and awareness campaigns targeting FIs and MSME
- xiii. Project management including reporting and disbursement management of IFI/MDB financed project

The detailed staffing requirements will be provided to shortlisted Bidders in the Terms of Reference (ToR).

Gender equitable staffing will be encouraged and rewarded in the evaluation of the Technical Proposals in the RfP.

c. EXPECTED IMPLEMENTATION PERIOD

It is anticipated that the duration of the Services will be for a period not exceeding 48 months and an optional additional 24 months subject to satisfactory performance.

2.2.1 DOCUMENTS COMPRISING THE APPLICATION

2.2.1(d)(V) Balance Sheet and Profit & Loss Statements

In case the Applicant's Balance Sheets and Profit and Loss Statements are not denominated in EUR, the converted EUR figures in the Financial Capacity Statement as per Form 5 shall be certified by a third-party auditor or the firm's Chief Financial Officer (CFO).

Any exchange rate shall be based on the applicable spot exchange rate of the date of the publication of this Invitation for Prequalification (either Applicant's resident county central bank, IMF or reputable online services (Oanda, XE or similar)).

2.2.1(d)(VI) Project References

Additional requirements:

- a. **Ten (10) project references presented in the format of Form 5** strictly related to the envisaged Services. Presentation of less or more project references will be penalized.
- b. The Applicant shall only present references that have been undertaken under its own name or as part of a Consortium/ JV with a minimum share of the **relevant** service scope of not less than **50%**. In the table of FORM 5 under "Services provided by the legal entity for the project" only services actually delivered by the Applicant shall be presented (and not services provided by another entity - for instance, by JV members- under the same contract).
- c. Further, to be eligible for evaluation, any Reference Project must be either
 - (i) completed within the last seven (7) years of the date of the Deadline of Submissions of Applications; or
 - (ii) completed to at least 80% as of the date of Deadline of Submissions of Applications.
- d. **References of affiliated firms of the Applicant (subsidiaries, parent company or sister company) will only be considered eligible for evaluation if the affiliated firm is member of the JV or nominated Sub-Consultant in accordance with GP 1.4.2.**

2.2.1 (e) Additional Documents:

The Applicant or, in case of a JV, the Lead Consultant shall have implemented a Quality Management System certified according to ISO 9001 standard or an internationally recognized equivalent and present the certification as part of their Application.

2.4. E-SUBMISSIONS

Applications shall be submitted electronically only. Physical submission of Applications is not required.

Consultants are requested to nominate up to two (2) dedicated contact persons (name, email address and phone number). The nomination shall be sent to the Tender Agent via email (tender@renemeyer.org) latest ten (10) days prior to expiry of the Deadline of Submissions of Applications pursuant to SP 3.2.1. The data shall be used to set up an e-procurement system for submission of Applications. The operator of the KfW-approved e-procurement system, Exficon GmbH, Frankfurt am Main, will revert to the persons authorized for electronic submission with an invitation email containing the access link to the system. It is recommended to log in after receipt to make sure that there are no technical difficulties.

The data and information provided will be forwarded to an external third party (Exficon GmbH) which operates the e-procurement system utilised for this tender. To participate in the e-submission procedure, representatives of the Prospective Bidder will need to consent to usage of their data through Exficon GmbH in accordance with the German data protection regulation (DSGVO) for this specific e-Procurement procedure until its completion.

Detailed information and a step-by-step description of the upload procedure can be downloaded here: <https://exficon.de/tad/e-procurement/>.

2.4.2 COPIES OF THE APPLICATION

A submission of a copy is **not** required.

2.5.1 CLARIFICATION OF PREQUALIFICATION DOCUMENT

Requests for Clarification to the Prequalification Document shall be sent to the Tender Agent René Meyer by email to:

tender@renemeyer.org

with a copy (cc) to the Employer's representatives shrutis@cgtmse.in and dhirajk@cgtmse.in.

The deadline for requests for clarifications by Applicants is **fourteen (14)** days prior to the Deadline of Submissions of Applications date as per SP 3.2.1.

Clarifications will be sent to all prospective Applicants who have obtained the Prequalification Document directly from the Tender Agent not later than ten (10) Days prior to the Deadline of Submissions of Applications date as per SP 3.2.1.

3.1 Not applicable

3.2.1 DEADLINE FOR SUBMISSION OF APPLICATIONS

The Application shall be submitted at or before

April 14th, 2023, 2 p.m. CET (Central European Time)
(“Deadline of Submissions of Applications”)

Timely submission means that the file must be successfully uploaded by the deadline. Bidders are requested to limit the number of files for upload to a maximum of five (5) files.

3.2.5 OPENING OF APPLICATIONS

The Applications will be opened at the offices of the Tender Agent in accordance with the KfW Procurement Guidelines on:

April 14th, 2023, 2.05 p.m. CET (Central European Time)

4.2.1 FINANCIAL CAPABILITY REQUIREMENTS

The Applicant shall demonstrate the following financial capabilities:

(1) Turnover

Average annual turnover of at least **one and a half (1.5) million EUR** (or other currency equivalent) for fees for providing similar advisory or consultancy services over the last three (3) financial years.

In case of JV, the aggregated turnover of the JV members will be considered for purposes of the minimum turnover assessment. The Lead Consultant shall however cover **not less than 75%** of the required average minimum turnover.

Balance Sheets and Profit & Loss Statements for the last three (3) financial years shall be provided by each member of the envisaged JV. Balance Sheets and Profit & Loss Statements shall be certified by a reputable auditor as defined in SP **2.2.1(d)(V)**.

(2) Liquidity

The Applicant has a Current Ratio (Current Assets divided by Current Liabilities) larger than one (>1) on average for the last three (3) financial years. In the case of a JV, this requirement shall apply to the Lead Consultant only.

Criterion	Requirement	Single Entity	Joint Venture			Submission Requirements
			All Parties Combined	Each Party	One Party	
Turnover	<i>Average minimum turnover of EUR 1.5 million over the last three (3) financial Years (or other currency equivalent)</i>	Must meet req.	Must meet req.		Lead Consultant min. 75%	GP 2.2.1. d) V / Form 4
Liquidity	<i>Average of Current Ratio >1</i>	Must meet req.			Must meet req. (Lead Consultant)	GP 2.2.1. d) V / Form 4

4.2.2 QUALIFICATION CRITERIA

Qualification criteria	Scoring
1. Applicant's Experience	55
1.1 Experience in implementing similar projects	50
1.1.1 <u>Experience with Credit Guarantee Facilities / Funds</u> Two (2) references (7.5 points each) including <ul style="list-style-type: none"> • Design and/or implementation of credit guarantee funds • For small and micro enterprises • For renewable energy projects <p>This qualification sub-criterion is evaluated on the basis of the project references submitted in accordance with GP 2.2.1(d)(VI).</p>	15
1.1.2 <u>Organizational and capacity development of financial institutions</u> Two (2) references (5 points each) including <ul style="list-style-type: none"> • Analysis of (business-) processes • Design or implement operational procedures, incl. compliance processes • Specify roles and responsibilities • Design or implement training programs • Change management <p>This qualification sub-criterion is evaluated on the basis of the project references submitted in accordance with GP 2.2.1(d)(VI).</p>	10

<p>1.1.3 <u>Design or implementation of Environmental and Social Management System (ESMS)</u></p> <p>Two (2) references (5 points each) including</p> <ul style="list-style-type: none"> • For financial institutions or public administrations • According to KfW Sustainability Guidelines, World Bank ESF or other IFI ESHS frameworks / guidelines <p>This qualification sub-criterion is evaluated on the basis of the project references submitted in accordance with GP 2.2.1(d)(VI).</p>	10
<p>1.1.4 <u>Experience with SRT</u></p> <p>Two (2) references (2.5 points each) including</p> <ul style="list-style-type: none"> • Study or design of commercial solar rooftop • Economic and financial analysis • Development, implementation or assessment of standards and technical quality requirements for SRT • Testing, quality check and performance assessment of operational installations <p>This qualification sub-criterion is evaluated on the basis of the project references submitted in accordance with GP 2.2.1(d)(VI).</p>	5
<p>1.1.5 <u>Experience with Project Management of IFI/MDB financed Projects</u></p> <p>Two (2) references (5 points each) including</p> <ul style="list-style-type: none"> • Financial Management and disbursement procedures • Reporting • Monitoring & evaluation <p>This qualification sub-criterion is evaluated on the basis of the project references submitted in accordance with GP 2.2.1(d)(VI).</p>	10
<p>1.2 <u>Experience with working-conditions in India</u></p> <p>This sub-criterion is evaluated on the basis of the project references submitted in accordance with GP 2.2.1(d)(VI).</p>	5
<p>2. Applicant's Capabilities</p>	40
<p>2.1 <u>Qualitative assessment of the Applicant's available Expertise</u></p> <p>This sub-criterion is evaluated on the basis of the list submitted in accordance with GP 2.2.1(d)(VII).</p>	30
<p>2.3 <u>Quantitative assessment of the Applicant's Human Resource Capacity</u></p> <p>This sub-criterion is evaluated on the basis of the list submitted in accordance with GP 2.2.1(d)(VII).</p>	10
<p>3. Is the Application concise and related to the project?</p>	5
<p>Overall Total Score</p>	100

The detailed assessment of the project references presented under Applicant’s “Experience in implementing similar projects” (1.1) will be conducted with the following methodology:

The full score under each evaluation sub-criterion 1.1.1 to 1.1.5 will be achieved if:

- the Applicant provides the total quantity requested under project reference types 1.1.1 to 1.1.5;
- each project reference presented fully reflects the requirements or scope of the respective reference type (additional specifications for the project reference types under 1.1.1 to 1.1.5 are not to be understood as minimum requirements, but rather as requirements to achieve the full score per project reference type); and
- the project reference presented provides all information relevant for its evaluation.

A single project reference may be presented for multiple reference types.

In case less than the indicated number of references is presented for any sub-criterion, each “missing” reference will be scored with zero (0) points.

4.2.5 NUMBER OF PREQUALIFIED APPLICANTS

The number of prequalified Applicants to be invited to submit a Proposal is limited to five (5). Should more than five Applicants achieve the minimum score the five qualified bidders with the best scores will be shortlisted.

SECTION III – APPLICATION FORMS

Form 1– Declaration of Undertaking Declaration of Undertaking

Reference name of the Application/Offer/Contract: ("Contract")²

To: ("Project Executing Agency")

1. We recognise and accept that KfW only finances projects of the Project Executing Agency ("PEA")³ subject to its own conditions which are set out in the Funding Agreement it has entered into with the PEA. As a matter of consequence, no legal relationship exists between KfW and our company, our Joint Venture or our Subcontractors under the Contract. The PEA retains exclusive responsibility for the preparation and implementation of the Tender Process and the performance of the Contract.
2. We hereby certify that neither we nor any of our board members or legal representatives nor any other member of our Joint Venture including Subcontractors under the Contract are in any of the following situations:
 - 2.1) being bankrupt, wound up or ceasing our activities, having our activities administered by courts, having entered into receivership, reorganisation or being in any analogous situation;
 - 2.2) convicted by a final judgement or a final administrative decision or subject to financial sanctions by the United Nations, the European Union or Germany for involvement in a criminal organisation, money laundering, terrorist-related offences, child labour or trafficking in human beings; this criterion of exclusion is also applicable to legal Persons, whose majority of shares are held or factually controlled by natural or legal Persons which themselves are subject to such convictions or sanctions;
 - 2.3) having been convicted by a final court decision or a final administrative decision by a court, the European Union, national authorities in the Partner Country or in Germany for Sanctionable Practice in connection with a Tender Process or the performance of a Contract or for an irregularity affecting the EU's financial interests (*in the event of such a conviction, the Applicant or Bidder shall attach to this Declaration of Undertaking supporting information showing that this conviction is not relevant in the context of this Contract and that adequate compliance measures have been taken in reaction*);
 - 2.4) having been subject, within the past five years to a Contract termination fully settled against us for significant or persistent failure to comply with our contractual obligations during such Contract performance, unless this termination was challenged and dispute resolution is still pending or has not confirmed a full settlement against us;
 - 2.5) not having fulfilled the applicable fiscal obligations with regard to the payment of taxes at the respective tax residence and in the country of origin of the PEA (*contractors based in Annex 1 countries (<https://www.consilium.europa.eu/de/policies/eu-list-of-non-cooperative-jurisdictions/>) must submit a fully completed and legally countersigned declaration of tax conformity (Appendix 1 to the Declaration of Undertaking) in addition to the Declaration of Undertaking at the time of award of the contract/contract review. This shall become an integral part of the contract. Failure to submit may result in exclusion from the awarding procedure. For contractors based in countries not listed as Annex 1 countries, only the Declaration of Undertaking must be submitted, and not the declaration of tax conformity*);

² Capitalised terms used, but not otherwise defined in this Declaration of Undertaking have the meaning given to such term in KfW's "Guidelines for the Procurement of Consulting Services, Works, Plant, Goods and Non-Consulting Services in Financial Cooperation with Partner Countries".

³ The PEA means the purchaser, the Employer, the client, as the case may be, for the procurement of Consulting Services, Works, Plant, Goods or Non-Consulting Services.

- 2.6) being subject to an exclusion decision of the World Bank or any other multilateral development bank and being listed on the website <http://www.worldbank.org/debarr> or respectively on the relevant list of any other multilateral development bank (*in the event of such exclusion, the Applicant or Bidder shall attach to this Declaration of Undertaking supporting information showing that this exclusion is not relevant in the context of this Contract and that adequate compliance measures have been taken in reaction*); or
- 2.7) being guilty of misrepresentation in supplying the information required as a condition of participation in the Tender.
3. We hereby certify that neither we, nor any of the members of our Joint Venture or any of our Subcontractors under the Contract are in any of the following situations of conflict of interest:
- 3.1) being an Affiliate controlled by the PEA or a shareholder controlling the PEA, unless the stemming conflict of interest has been brought to the attention of KfW and resolved to its satisfaction;
- 3.2) having a business or family relationship with a PEA's staff involved in the Tender Process or the supervision of the resulting Contract, unless the stemming conflict of interest has been brought to the attention of KfW and resolved to its satisfaction;
- 3.3) being controlled by or controlling another Applicant or Bidder, or being under common control with another Applicant or Bidder, or receiving from or granting subsidies directly or indirectly to another Applicant or Bidder, having the same legal representative as another Applicant or Bidder, maintaining direct or indirect contacts with another Applicant or Bidder which allows us to have or give access to information contained in the respective Applications or Offers, influencing them or influencing decisions of the PEA;
- 3.4) being engaged in a Consulting Services activity, which, by its nature, may be in conflict with the assignments that we would carry out for the PEA;
- 3.5) in the case of procurement of Works, Plant or Goods:
- i. having prepared or having been associated with a Person who prepared specifications, drawings, calculations and other documentation to be used in the Tender Process of this Contract;
 - ii. having been recruited (or being proposed to be recruited) ourselves or any of our Affiliates, to carry out works supervision or inspection for this Contract;
4. If we are a state-owned entity, and compete in a Tender Process, we certify that we have legal and financial autonomy and that we operate under commercial laws and regulations.
5. We undertake to bring to the attention of the PEA, which will inform KfW, any change in situation with regard to points 2 to 4 here above.
6. In the context of the Tender Process and performance of the corresponding Contract:
- 6.1) neither we nor any of the members of our Joint Venture nor any of our Subcontractors under the Contract have engaged or will engage in any Sanctionable Practice during the Tender Process and in the case of being awarded a Contract will engage in any Sanctionable Practice during the performance of the Contract;
- 6.2) neither we nor any of the members of our Joint Venture or any of our Subcontractors under the Contract shall acquire or supply any equipment nor operate in any sectors under an embargo of the United Nations, the European Union or Germany; and
- 6.3) we commit ourselves to complying with and ensuring that our Subcontractors and major suppliers under the Contract comply with international environmental and labour standards, consistent with laws and regulations applicable in the country of

implementation of the Contract and the fundamental conventions of the International Labour Organisation⁴ (ILO) and international environmental treaties. Moreover, we shall implement environmental and social risks mitigation measures when specified in the relevant environmental and social management plans or other similar documents provided by the PEA and, in any case, implement measures to prevent sexual exploitation and abuse and gender based violence.

7. In the case of being awarded a Contract, we, as well as all members of our Joint Venture partners and Subcontractors under the Contract will, (i) upon request, provide information relating to the Tender Process and the performance of the Contract and (ii) permit the PEA and KfW or an agent appointed by either of them, and in the case of financing by the European Union also to European institutions having competence under European Union law, to inspect the respective accounts, records and documents, to permit on the spot checks and to ensure access to sites and the respective project.
8. In the case of being awarded a Contract, we, as well as all our Joint Venture partners and Subcontractors under the Contract undertake to preserve above mentioned records and documents in accordance with Applicable Law, but in any case for at least six years from the date of fulfillment or termination of the Contract. Our financial transactions and financial statements shall be subject to auditing procedures in accordance with Applicable Law. Furthermore, we accept that our data (including personal data) generated in connection with the preparation and implementation of the Tender Process and the performance of the Contract are stored and processed according to the Applicable Law by the PEA and KfW.

Name: _____ In the capacity of: _____

Duly empowered to sign in the name and on behalf of⁵: _____

Signature:

Dated:

⁴ In case ILO conventions have not been fully ratified or implemented in the Employer's country the Applicant/Bidder/Contractor shall, to the satisfaction of the Employer and KfW, propose and implement appropriate measures in the spirit of the said ILO conventions with respect to a) workers grievances on working conditions and terms of employment, b) child labour, c) forced labour, d) worker's organisations and e) non-discrimination.

⁵ In the case of a JV, insert the name of the JV. The person who will sign the application, Bid or Proposal on behalf of the Applicant/Bidder shall attach a power of attorney from the Applicant/Bidder.

Declaration of tax conformity – binding confirmation for legal persons

Name of company

I hereby confirm with my signature that:

1. I am authorised to make this declaration on behalf of the above company;
2. the company properly pays all taxes in accordance with the tax laws of the country in which the company is domiciled;
3. the company is not currently nor has been in the past involved in any legal proceedings concerning the taxation of the company;
4. the company will duly pay taxes that may arise from the provision of contracted services;
5. all information and statements provided in advance are complete, accurate in terms of content and currently correct.

.....

(Place)

.....

(Date)

.....

(Name of the consultant)

.....

(Signature(s))

Appendix 1

Declaration of tax conformity – binding confirmation for natural persons

I hereby confirm with my signature that:

1. I make this declaration in my name/on my own account;
2. I duly pay taxes that I am obliged to pay under the tax law of my country of residence;
3. I am not currently involved in tax law court proceedings, nor have I been in the past;
4. I will duly pay taxes that may arise from the provision of contracted services;
5. I have filled in all the information and statements of this confirmation in full, accurately in terms of content and that they are up to date at this time.

.....

(Place)

.....

(Date)

.....

(Name of the person)

.....

(Signature)

Form 2 – Sample Declaration on Conflict of Interest and of Submitting a Proposal

Declaration on Conflict of Interest and of Submitting a Proposal

Project (name and country):

Tender Ref./ Project ID:

We *[insert the name of the Applicant]* hereby declare that we are an independent Consultant and we, nor any member of the JV in which we are member, nor any Sub-Consultant listed below have a conflict of interest as per GP 1.5.

We hereby declare that in the event of being prequalified by the Employer, we shall submit a Proposal, subject to the details of the tender documents.

[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 1.4.1]

Form 3 – 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 Joint Venture:

[Insert the names of the other JV 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 JV 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 1.4.1]

Form 4 – Financial Capacity Statement

[This table is provided for illustrative purposes only. Adjust the table to reflect the financial capability requirements set out in accordance with GP 4.2.1]

Financial data	2 years before last yearⁱ <2019> EUR	Year before last year⁵ <2020> EUR	Last year⁵ <2021 EUR	Averageⁱⁱ EUR
Annual turnover ⁱⁱⁱ				
Current assets ^{iv}				
Current liabilities ^v				
Current Ratio (current assets/ current liabilities)				

If annual accounts are not yet available for the last year, please provide latest estimates or provisional figures. Figures in all columns must be calculated on the same basis to allow a direct, year-on-year comparison to be made (or, if the basis has changed, please provide an explanation of the change as a footnote to the table).

Natural persons without balance sheet shall provide appropriate information.

ⁱ Last year = last accounting year for which the entity's accounts have been closed.

ⁱⁱ Amounts entered in the 'Average' column must be the mathematical average of the amounts entered in the three preceding columns of the same row.

ⁱⁱⁱ 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.

^{iv} 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.

^v 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.

Form 5 – 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 (%)*	Provided staff input (person months INT + NAT separate)	Name of client	Origin of funding	Dates (start/end)	Name of JV members, if any
...
Detailed description of project (background, objectives and main activities) Presented for Reference type: (1.1.1 – 1.1.5)						Services provided by the legal entity for the project		
...						...		
Contact details of reference (name, email)								

* 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.

Form 6 – 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 / SP 1.6. Include home-office project management / administration and backstopping personnel. Include freelance personnel and sub-consultant staff, if applicable. 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. Instead, for each key position applicants shall demonstrate the depth of their own capacity by naming up to three potential candidates. The focus is on access and availability to project relevant in-house expertise. While it is understood that prequalified Applicants are not required to include staff named below into the proposal, it is expected that the level of in-house expertise in the proposal is consistent with the level demonstrated PQ.

Name	Project team profile / areas of required expertise as per GP / SP 1.6 ⁶	Education/ Degree	Years of Professional Experience	Relationship with / Years within the Applicant ⁷	Country/Regional Experience	Relevant Project References (Description of project-related experience)	Languages

⁶ The project team profiles should be identical to the project team profiles listed in GP / SP 1.6. 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.

⁷ 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. If no acronym is indicated, it is assumed that the staff is permanently employed by the Applicant.

Form 6 continued

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 1.6. The focus here is on the Applicants human resource capacity and breadth in relation to the required expert Services.

[Insert a separate sheet for each JV members here]

Departments / Divisions in the firm relevant to the project team profile / areas of required expertise as per GP / SP 1.6	Staff		Total staff appropriate for the specialisation
	Permanent staff in the Applicants firm	Freelance staff	
Total staff number of the Applicant			

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

SECTION IV – ELIGIBILITY CRITERIA

Eligibility in KfW-Financed Procurement

1. Consulting Services, Works, Goods, Plant and Non-Consulting Services are eligible for KfW financing regardless of the country of origin of the Contractors (including Subcontractors and suppliers for the execution of the Contract), except where an international embargo or sanction by the United Nations, the European Union or the German Government applies.
2. Applicants/Bidders (including all members of a Joint Venture and proposed or engaged Subcontractors) shall not be awarded a KfW-financed Contract if, on the date of submission of their Application/Offer or on the intended date of Award of a Contract, they:
 - 2.1 are bankrupt or being wound up or ceasing their activities, are having their activities administered by courts, have entered into receivership, or are in any analogous situation;
 - 2.2 have been
 - (a) convicted by a final judgement or a final administrative decision or subject to financial sanctions by the United Nations, the European Union and/or the German Government for involvement in a criminal organisation, money laundering, terrorist-related offences, child labour or trafficking in human beings; this criterion of exclusion is also applicable to legal Persons, whose majority of shares are held or factually controlled by natural or legal Persons which themselves are subject to such convictions or sanctions;
 - (b) convicted by a final court decision or a final administrative decision by a court, the European Union or national authorities in the Partner Country or in Germany for Sanctionable Practice during any Tender Process or the performance of a Contract or for an irregularity affecting the EU's financial interests, unless they provide supporting information together with their Declaration of Undertaking (Form available as Appendix to the Application/Offer which shows that this conviction is not relevant in the context of this Contract and that adequate compliance measures have been taken in reaction;
 - 2.3 have been subject within the past five years to a Contract termination fully settled against them for significant or persistent failure to comply with their contractual obligations during Contract performance, unless this termination was challenged and the dispute resolution is still pending or has not confirmed a full settlement against them;
 - 2.4 have not fulfilled applicable fiscal obligations regarding payments of taxes either in the country where they are constituted or the PEA's country;
 - 2.5 are subject to an exclusion decision of the World Bank or any other multilateral development bank and are listed in the respective table with debarred and cross-debarred firms and individual available on the World Bank's website or any other multilateral development bank unless they provide supporting information together with their Declaration of Undertaking which shows that this exclusion is not relevant in the context of this Contract or
 - 2.6 have given misrepresentation in documentation requested by the PEA as part of the Tender Process of the relevant Contract.
3. State-owned entities may compete only if they can establish that they (i) are legally and financially autonomous, and (ii) operate under commercial law. To be eligible, a state-owned entity shall establish to KfW's satisfaction, through all relevant documents, including its charter and other information KfW may request, that it: (i) is a legal entity separate from their state; (ii) does not currently receive substantial subsidies or budget support; (iii) operates

like any commercial enterprise, and, inter alia, is not obliged to pass on its surplus to their state, can acquire rights and liabilities, borrow funds and be liable for repayment of its debts, and can be declared bankrupt.

SECTION V – KfW POLICY – SANCTIONABLE PRACTICE – SOCIAL AND ENVIRONMENTAL RESPONSIBILITY

1) Sanctionable Practice

The PEA and the Contractors (including all members of a Joint Venture and proposed or engaged Subcontractors) must observe the highest standard of ethics during the Tender Process and performance of the Contract.

By signing the Declaration of Undertaking the Contractors declare that (i) they did not and will not engage in any Sanctionable Practice likely to influence the Tender Process and the corresponding Award of Contract to the PEA's detriment, and that (ii) in case of being awarded a Contract they will not engage in any Sanctionable Practice.

Moreover, KfW requires to include in the Contracts a provision pursuant to which Contractors must permit KfW and in case of financing by the European Union also to European institutions having competence under European law to inspect the respective accounts, records and documents relating to the Tender Process and the performance of the Contract and to have them audited by auditors appointed by KfW.

KfW reserves the right to take any action it deems appropriate to check that these ethics rules are observed and reserves, in particular, the rights to:

- (a) reject an Offer for Award of Contract if during the Tender Process the Bidder who is recommended for the Award of Contract has engaged in Sanctionable Practice, directly or by means of an agent in view of being awarded the Contract;
- (b) declare misprocurement and exercise its rights on the ground of the Funding Agreement with the PEA relating to suspension of disbursements, early repayment and termination if, at any time, the PEA, Contractors or their legal representatives or Subcontractors have engaged in Sanctionable Practice during the Tender Process or performance of the Contract without the PEA having taken appropriate action in due time satisfactory to KfW to remedy the situation, including by failing to inform KfW at the time they knew of such practices.

KfW defines, for the purposes of this provision, the terms set forth below as follows:

Coercive Practice	The impairing or harming, or threatening to impair or harm, directly or indirectly, any person or the property of the person with a view to influencing improperly the actions of a person.
Collusive Practice	An arrangement between two or more persons designed to achieve an improper purpose, including influencing improperly the actions of another person.
Corrupt Practice	The promising, offering, giving, making, insisting on, receiving, accepting or soliciting, directly or indirectly, of any illegal payment or undue advantage of any nature, to or by any person, with the intention of influencing the actions of any person or causing any person to refrain from any action.
Fraudulent Practice	Any action or omission, including misrepresentation that knowingly or recklessly misleads, or attempts to mislead, a person to obtain a financial benefit or to avoid an obligation.

Obstructive Practice Means (i) deliberately destroying, falsifying, altering or concealing evidence material to the investigation or the making of false statements to investigators, in order to materially impede an official investigation into allegations of a Corrupt Practice, Fraudulent Practice, Coercive Practice or Collusive Practice, or threatening, harassing or intimidating any Person to prevent them from disclosing their knowledge of matters relevant to the investigation or from pursuing the investigation, or (ii) any act intended to materially impede the exercise of KfW's access to contractually required information in connection with an official investigation into allegations of a Corrupt Practice, Fraudulent Practice, Coercive Practice or Collusive Practice.

Sanctionable Practice Any Coercive Practice, Collusive Practice, Corrupt Practice, Fraudulent Practice or Obstructive Practice (as such terms are defined herein) which is unlawful under the Financing Agreement.

2) **Social and Environmental Responsibility**

Projects financed in whole or partly in the framework of Financial Cooperation have to ensure compliance with international Environmental, Social, Health and Safety (ESHS) standards (including issues of sexual exploitation and abuse and gender based violence). Contractors in KfW-financed projects shall consequently undertake in the respective Contracts to:

- (a) comply with and ensure that all their Subcontractors and major suppliers, i.e. for major supply items comply with international environmental and labour standards, consistent with Applicable Law and regulations in the country of implementation of the respective Contract and the fundamental conventions of the International Labour Organisation (ILO) and international environmental treaties and;
- (b) implement any environmental and social risks mitigation measures, as identified in the environmental and social impact assessment (ESIA) and further detailed in the environmental and social management plan (ESMP) as far as these measures are relevant to the Contract and implement measures for the prevention of sexual exploitation and abuse and gender-based violence.