

Specific Procurement Notice – Initial Selection Document (ISD)

Invitation for Initial Selection Works (Design and Build)

Employer: PNG POWER LTD

Project: PPL Hydro Station Refurbishment

Contract title: Ramu 1 Hydro Power Station Refurbishment – Mechanical and Electrical Works

Country: Papua New Guinea

ISD No: 57/2022

Issued on: 02 November 2022

1. The PNG Power LTD has applied for a blend of grant funds (the “**Grant**”) and loan financing (the “**Loan**”) from the Commonwealth of Australia, acting through the Department of Foreign Affairs and Trade (“**DFAT**”) as grantor under the Australian Infrastructure Financing Facility for the Pacific (“**AIFFP**”) and Export Finance Australia (EFA) as lender of record (EFA) (each an **AIFFP Financier**) toward the cost of the **PPL Hydro station refurbishment**, and intends to apply part of the proceeds toward payments under the contract **Ramu 1 Hydro Power Station Refurbishment – Mechanical and Electrical Works**.
2. The Australian Infrastructure Financing Facility for the Pacific intends to initially select Applicants for 57/2022 **PPL Hydro Station Refurbishment**. AIFFP financing has covered the delivery of the various stages of the studies and procurement support for the rehabilitation of hydropower stations in the Ramu grid in the Eastern Highlands Province of Papua New Guinea. The project is for the rehabilitation of the Ramu 1 hydropower station. The Ramu 1 Power Station has a total of five units. Units 1 to 3 were installed in 1975 and have therefore been in service for about 46 years. Units 4 and 5 were brought into service in 1989 and have been in service for around 32 years. The decreasing reliability of the plant, aging equipment and changes from the original design conditions, has lead PNG Power Limited to investigate the options for rehabilitation and modernisation. The aim of this refurbishment is to at least bring the units to a similar condition as when new, and potentially to upgrade them using improved technology that is now available. Various refurbishment and replacement works have been undertaken on the Ramu 1 power station over the years with the aim of improving generation capacity and reliability. However, there are some underlying problems present in the station operation and in the individual units. A significant proportion of the issues started when the additional Units 4 and 5 were installed and led to hydraulic issues in the draft tubes and outlet manifolds. Despite works to date, the issues are yet to be fully overcome: This RFP is to address the design, procurement, and installation requirements to remediate the

mechanical and electrical components of the power station. It is expected that the Request for Proposals will be made in November 2022.

3. Except as otherwise indicated in this RFP, Initial Selection will be conducted through the procedures as specified in the World Bank's Procurement Regulations for IPF Borrowers 2021 ("**Procurement Regulations**"), and is open to all eligible Applicants as defined in the Procurement Regulations.
4. Interested eligible Applicants may obtain further information from the PNG Power LTD tender portal (PPL Web) at the following URL: www.pngpower.com.pg/tenders or (Tender Link) at the following URL <https://portal.tenderlink.com/pngpower>. A complete set of **Initial Selection** documents in **English** may be purchased by interested Applicants on the submission of a written application to the address below.
5. Applications for Initial Selection should be uploaded in clearly labelled electronic files by 14:00 (UTC+10) **2nd December 2022**. Late applications will not be allowed to be uploaded.
6. **NOTE:** Applicants are advised that these **Initial Selection** documents have been prepared using the World Bank's *Standard Procurement Documents for Initial Selection Document Works Design and Build (version 2021)* (with permission) with necessary AIFFP adaptations as to include and reflect policies applicable to AIFFP funding, including the AIFFP's social procurement policy. Attention is drawn in particular to specific provisions in the Instructions to Applications setting out the AIFFP's requirements in relation to eligibility, restricted parties and sanctions, corruption and fraud policies, SEAH performance-related disqualification. Applicants should note in particular that the loan agreement prohibits drawdowns or disbursements for the purpose of any payment to persons or entities, or for any import of goods, if such payment or import, to the knowledge of the AIFFP Financier, will be made to or for the benefit of a Restricted Party (defined in the Instructions to Applicants).

PNG POWER LTD
DANAE Pala, Procurement Officer
PO Box 1105, Boroko, NCD, 111, Papua New Guinea
Tel: +675 324 3422
Email: dpala@pngpower.com.pg
url: www.pngpower.com.pg

Invitation for Initial Selection Works

(Design and Build)

***Procurement of:
Ramu 1 Hydro Power Station Refurbishment –
Mechanical and Electrical Works***

Employer:	PNG POWER LTD
Project:	PPL Hydro Station Refurbishment
Contract title:	Ramu 1 Hydro Power Station Refurbishment – Mechanical and
Electrical Works	
Country:	Papua New Guinea
ISD No:	57/2022
Issued on:	02 November 2022.

(This Initial Selection Document is for use with a Request for Proposals process)

Standard Procurement Document

Table of Contents

PART 1 – Initial Selection Procedures	1
Section I - Instructions to Applicants	2
Section II - Initial Selection Data Sheet (ISDS)	25
Section III - Initial Selection Criteria and Requirements	29
Section IV - Application Forms.....	43
Section V - Eligible Countries.....	69
Section VI - Fraud and Corruption	71
PART 2 – Employer’s Requirements.....	75
Section VII - Scope of Employer’s Requirements	77

PART 1 – Initial Selection Procedures

Section I - Instructions to Applicants

Contents

A. General.....	3
1. Scope of Application	3
2. Source of Funds	8
3. Fraud and Corruption	9
4. Eligible Applicants	9
5. Eligibility	11
B. Contents of the Initial Selection Document	11
6. Sections of Initial Selection Document	11
7. Clarification of Initial Selection Document and Pre-Application Meeting	12
8. Amendment of Initial Selection Document	13
C. Preparation of Applications	13
9. Cost of Applications	13
10. Language of Application	13
11. Documents Comprising the Application	14
12. Application Submission Letter	14
13. Documents Establishing the Eligibility of the Applicant	14
14. Documents Establishing the Qualifications of the Applicant	14
15. Signing of the Application and Number of Copies	15
D. Submission of Applications	15
16. Sealing and Marking of Applications	15
17. Deadline for Submission of Applications	15
18. Late Applications	16
19. Opening of Applications	16
E. Procedures for Evaluation of Applications	16
20. Confidentiality	16
21. Clarification of Applications	16
22. Responsiveness of Applications	16
23. Margin of Preference	17
24. Subcontractors	17
F. Evaluation of Applications and Initial Selection of Applicants	17
25. Evaluation of Applications	17
26. Employer's Right to Accept or Reject Applicants	20
27. Initial Selection of Applicants	20
28. Notification of Initial Selection	22
29. Request for Proposals	22
30. Changes in Qualifications of Applicants	23
31. Procurement Related Complaint	23

Section I - Instructions to Applicants (ITA)

A.General

- 1. Scope of Application**
- 1.1 In connection with the invitation for Initial Selection indicated in Section II, Initial Selection Data Sheet (**ISDS**), the Employer, as defined **in the ISDS**, issues this Initial Selection Document (“Initial Selection Document”) to prospective applicants (“Applicants”) interested in submitting applications (“Applications”) for Initial Selection to submit Proposals for the Works Design and Build described in Section VII, Scope of Employer’s Requirement. In case proposals for the Works Design and Build are to be invited as individual contracts (i.e., the slice and package procedure), these are listed **in the ISDS**. The Request for Proposals (RFP) number corresponding to this Initial Selection is also provided **in the ISDS**.
- 1.2 Throughout this bidding document:
- (a) the term “**in writing**” means communicated in written form (e.g., by mail, e-mail, fax, including if **specified in the ISDS**, distributed or received through electronic-procurement system used by the Employer) with proof of receipt.
 - (b) if the context so requires, “**singular**” means “**plural**” and vice versa.
 - (c) “**AIFFP**” means either of the following as the context requires:
 - (i) the Commonwealth of Australia acting through the Department of Foreign Affairs and Trade (hereinafter called “**DFAT**”) in relation to funding under the Australian Infrastructure Financing Facility for the Pacific; and
 - (ii) the funding program established by the Government of Australia as the Australian Infrastructure Finance Facility for the Pacific provided through grants and loans, with Export Finance Australia as its is the lender of record.
 - (d) “**AIFFP Financier**” means AIFFP, or both AIFFP and EFA, depending on whether the financing includes both grant and loan funding.

- (e) **“Child Exploitation, Abuse and Harm”** or **“CHEAH”** means the following:
- (i) **“Child Abuse”** means physical abuse, neglect, emotional abuse, sexual abuse or ill-treatment.
 - (ii) **“Child Exploitation”** means one or more of the following:
 - committing or coercing another person to commit an act or acts of abuse against a child;
 - possessing, controlling, producing, distributing, obtaining or transmitting child exploitation material;
 - committing or coercing another person to commit an act or acts of grooming or online grooming;
 - using a minor for profit, labour, sexual gratification, or some other personal or financial advantage.
 - (iii) **“Child Harm”** means any detrimental effect on a child’s physical, psychological or emotional wellbeing. Harm may be caused by financial, physical or emotional abuse, neglect, and/or sexual abuse or exploitation whether intended or unintended.
- (f) **“Criminal Code Act List”** means the list of organisations that are specified as a “terrorist organisation” by regulations made under the Criminal Code Act 1995 (Cth) (this list is currently available at <https://www.nationalsecurity.gov.au/Listedterroristorganisations/Pages/default.aspx>).
- (g) **“DFAT”** means the Australian Government Department of Foreign Affairs and Trade.
- (h) **“Day”** means calendar day, unless otherwise specified as a “Business Day.” A Business Day is any day that is a working day of the Financing Recipient. It excludes the Financing Recipient’s official public holidays.
- (i) **“Debarment List”** means any publicly-available debarment list of any one of the following institutions: African Development Bank, the Asian Development Bank, the European Bank for Reconstruction and

Development, the Inter-American Development Bank and the World Bank Group.

- (j) **“Export Finance Australia”** or **“EFA”** means the Export Finance and Insurance Corporation established under the *Export Finance and Insurance Corporation Act 1991* (Cth).
- (k) **“Modern Slavery”** means any conduct activity, practice or conduct that:
 - (i) causes a person to enter into or remain in slavery or a slavery-like condition, including employing or engaging Forced Labour or Child Labour or persons who have been subject to Trafficking;
 - (ii) involves organizing or facilitating trafficking in persons as defined in Article 3 of the Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children, supplementing the United Nations Convention against Transnational Organized Crime, done at New York on 15 November 2000 ([2005] ATS 27); or
 - (iii) is otherwise prohibited or defined as ‘modern slavery’ for the purposes of any offence under any applicable laws concerned with anti-slavery or human trafficking in a relevant jurisdiction,

where:

- (iv) **“Forced Labour”** is defined as any work or service, not voluntarily performed, that is exacted from an individual under threat of force or penalty (whether against the victim or another person), and includes: any kind of involuntary or compulsory labour, such as indentured labour, bonded labour, serfdom or similar labour-contracting arrangements and will apply regardless of whether or not escape from the condition is practically possible for the victim or the victim has attempted to escape from the condition; and
- (v) **“Child Labour”** is defined as:
 - any work or service performed by a child under the age of 14 unless the national law specifies a higher age as the minimum age (the minimum age);

- any work or service performed by a child between the minimum age and the age of 18 in a manner that is likely to be hazardous, or to interfere with, the child's education, or to be harmful to the child's health or physical, mental, spiritual, moral, or social development; and
- any other conduct that constitutes the worst forms of child labour under Article 3 of the ILO Convention (No. 182) concerning the Prohibition and Immediate Action for the Elimination of the Worst Forms of Child Labour, done at Geneva on 17 June 1999 ([2007] ATS 38).

(vi) **“Trafficking”** is defined as:

- the recruitment, transportation, transfer, harbouring or receipt of persons by means of the threat or use of force or other forms of coercion, abduction, fraud, deception, abuse of power, or of a position of vulnerability, or of the giving or receiving of payments or benefits to achieve the consent of a person having control over another person, for the purposes of exploitation; and
- any other act which would constitute trafficking in persons, as defined in Article 3 of the Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children, supplementing the United Nations Convention against Transnational Organized Crime, done at New York on 15 November 2000 ([2005] ATS 27).

(l) **“Restricted Party”** means:

- (i) a person listed on any Sanctions List;
- (ii) a person that has a primary place of business in, or is incorporated or organised under the Laws of a country or territory that is the target of country-wide or territory-wide Sanctions; or
- (iii) any person or entity that is a target of Sanctions (including by way of beneficial ownership).

- (m) **“Sanctions”** means the trade or economic sanctions, Laws, regulations, embargoes or restrictive measures administered, enacted or enforced by:
 - (i) Australia;
 - (ii) the United Nations;
 - (iii) the United States;
 - (iv) the European Union;
 - (v) the United Kingdom;
 - (vi) the Employer’s Country; or
 - (vii) the respective governmental institutions and agencies of any of the foregoing, including DFAT, Office of Foreign Assets Control of the US Department of Treasury, the United States Department of State and Her Majesty’s Treasury,
- (n) **“Sanctions Authority”** means each of the entities listed in paragraphs (i) - (vii) of the definition of Sanctions.
- (o) **“Sanctions List”** means the Consolidated List of DFAT, the Criminal Code Act List, the ‘Specially Designated Nationals and Blocked Persons’ list maintained by the Office of Foreign Assets Control of the US Department of Treasury, the Consolidated List of Targets and the Investment Ban List maintained by Her Majesty’s Treasury, or any similar list maintained by, or public announcement of Sanctions designation made by, any of the Sanctions Authorities (as defined in the definition of ”Sanctions”), including any sanctions list of the Employer’s Country specified in the ISDS.
- (p) **“Sexual Exploitation, Abuse and Harassment” “(SEAH)”** means the following:
 - (i) **Sexual Exploitation** is defined as any actual or attempted abuse of position of vulnerability, differential power or trust, for sexual purposes, including, but not limited to, profiting monetarily, socially or politically from the sexual exploitation of another.
 - (ii) **Sexual Abuse** is defined as the actual or threatened physical intrusion of a sexual nature, whether by force or under unequal or coercive conditions. It covers sexual offences including

but not limited to: attempted rape (which includes attempts to force someone to perform oral sex); and sexual assault (which includes non-consensual kissing and touching).

- (iii) **Sexual Harassment** is defined as unwelcome sexual advances, requests for sexual favours, and other verbal or physical conduct of a sexual nature or engages in other unwelcome conduct of a sexual nature by the Contractor's Personnel, in circumstances in which a reasonable person, having regard to all the circumstances, would have anticipated the possibility that the person harassed would be offended, humiliated or intimidated. Sexual harassment can be perpetrated against beneficiaries, community members, citizens, as well as Contractor's Personnel or Employer's Personnel staff and personnel;

- 1.3 Defined terms used in this ITA not defined in the ITA have the meaning given to them at Section VI – Fraud and Corruption.

2. Source of Funds

- 2.1 The Financing Recipient indicated **in the ISDS** has applied for or received financing (hereinafter called “funds”) from the AIFFP Financier in an amount specified **in the ISDS**, towards the cost of the project named **in the ISDS**. The Financing Recipient intends to apply a portion of the funds to eligible payments under the contract(s) resulting from the Request for Proposals (**RFP**) process for which this Initial Selection is conducted.
- 2.2 Where the funds provided are in the form of a grant, the financing will be from AIFFP. Where the funds provided are in the form of a loan, Export Finance Australia will be the lender of record.
- 2.3 Payment by the AIFFP Financier will be made only at the request of the Financing Recipient and upon approval by the AIFFP Financier, and will be subject, in all respects, to the terms and conditions of the relevant loan or grant agreement. The loan or grant agreement prohibits a drawing (or disbursement) from the loan (or grant) for the purpose of any payment to persons or entities, or for any import of goods, equipment, plant or materials, or services if such payment or import involves dealing with a Restricted Party. No party other than the Financing Recipient shall derive any rights from the

loan or grant agreement or have any claim to the proceeds of the loan or grant.

3. Fraud and Corruption

- 3.1 AIFFP requires compliance with the requirements relating to fraud and corruption as set forth in Section VI, Fraud and Corruption.
- 3.2 In addition to the above, the Applicants shall permit and shall cause their agents (where declared or not), subcontractors, subconsultants, service providers, suppliers, and personnel, to permit the AIFFP Financier to inspect all accounts, records and other documents relating to any Prequalification process, Initial Selection process, Bid submission (in case prequalified), Proposal submission (in case initially selected) and contract performance (in the case of award), and to have them audited by auditors appointed by the AIFFP Financier.

4. Eligible Applicants

- 4.1 Applicants shall meet the eligibility criteria as per this Instruction and ITA 5.1.
- 4.2 An Applicant may be a firm that is a private entity, a state-owned enterprise or institution subject to ITA 4.9 - or any combination of such entities in the form of a joint venture (“JV”) under an existing agreement or with the intent to enter into such an agreement supported by a letter of intent. In the case of a joint venture, (a) all members of the joint venture must satisfy the legal, financial, litigation and other requirements set out in the ISDS; and (b) all members shall be jointly and severally liable for the execution of the entire Contract in accordance with the Contract terms. The JV shall nominate an authorized representative who shall have the authority to conduct all business for and on behalf of any and all the members of the JV during the Initial Selection process, RFP process (in the event the JV submits a Proposal) and during contract execution (in the event the JV is awarded the Contract). Unless specified **in the ISDS**, there is no limit on the number of members in a JV.
- 4.3 A firm is not permitted to participate for initial selection for the same contract both as an individual firm and as a part of a joint venture or as a subcontractor. However, a firm may participate as a subcontractor in more than one Application but only in the capacity of a subcontractor. Applications submitted in violation of this procedure will be rejected
- 4.4 A firm and any of its affiliates (that directly or indirectly control, are controlled by or are under common control with that firm) are not permitted to submit more than one application for initial selection for the same contract, either individually, as joint

venture or as a subcontractor among them. Applications submitted in violation of this procedure will be rejected.

- 4.5 An Applicant may have the nationality of any country, subject to the restrictions pursuant to ITA 5.1. An Applicant shall be deemed to have the nationality of a country if the Applicant is constituted, incorporated or registered in and operates in conformity with the provisions of the laws of that country, as evidenced by its articles of incorporation (or equivalent documents of constitution or association) and its registration documents, as the case may be. This criterion also shall apply to the determination of the nationality of proposed specialized sub-contractors or suppliers for any part of the Contract including related Services.
- 4.6 Applicants and proposed specialized sub-contractors or suppliers for any part of the Contract including related services (for the purpose of this ITA 4.6 referred to as “Applicants”) shall not have a conflict of interest. Applicants shall be considered to have a conflict of interest, if they, or any of their affiliates, participated as a consultant in the preparation of the Employer’s Requirement (other than design to be carried out as part of this Works Design and Build contract) or have been hired or proposed to be hired by the AIFFP Financier or Employer or Financing Recipient as Engineer for contract implementation of the Works Design and Build that are the subject of this Initial Selection. In addition, Applicants may be considered to have a conflict of interest if they have a close business or family relationship with a professional staff of the Financing Recipient (or of the project implementing agency, or of a recipient of a part of the loan and/or grant) who: (i) are directly or indirectly involved in the preparation of the Initial Selection Document or Request for Proposals (RFP) Document or specifications of the Contract, and/or the Proposal evaluation process of such Contract; or (ii) would be involved in the implementation or supervision of such Contract, unless the conflict stemming from such relationship has been resolved in a manner acceptable to AIFFP throughout the procurement process and execution of the Contract.
- 4.7 An Applicant who is on a Debarment List or that has otherwise been determined to be ineligible by AIFFP in accordance with the provisions of Schedule VI concerning corrupt practices and fraud shall not be eligible to be prequalified for, initially selected for, bid for, propose for or be awarded the Contract or to otherwise benefit from the Contract.
- 4.8 Applicants that are state-owned enterprise or institutions in the Employer’s Country may be eligible to be initially selected,

compete, and be awarded a Contract(s) only if they can establish, in a manner acceptable to the AIFFP Financier, that they (i) are legally and financially autonomous (ii) operate under commercial law, and (iii) are not under supervision of the Employer.

- 4.9 An Applicant shall not be under suspension from bidding or submitting proposals by the Employer as the result of the execution of a Bid or Proposal–Securing Declaration.
- 4.10 An Applicant will be ineligible if it is subject to disqualification by the World Bank due to noncompliance with contractual SEAH prevention and response obligations (and the corresponding World Bank requirements).
- 4.11 An Applicant shall provide such documentary evidence of eligibility satisfactory to the Employer, as the Employer shall reasonably request.
- 4.12 A firm that is debarred by the Financing Recipient from being awarded a contract is eligible to participate in this procurement, unless the AIFFP Financier, at the Financing Recipient's request, is satisfied that the debarment:
 - (a) relates to fraud or corruption; and
 - (b) followed a judicial or administrative proceeding that afforded the firm adequate due process.

5. Eligibility

- 5.1 Firms and individuals will be ineligible if they are a Restricted Party
- 5.2 When the Works Design and Build is implemented across jurisdictional boundaries (and more than one country is a Financing Recipient, and is involved in the procurement), then exclusion of a firm or individual on the basis of ITA 5.1 above by any country may be applied to that procurement across other countries involved, if AIFFP and the Financing Recipients involved in the procurement agree.

B. Contents of the Initial Selection Document

6. Sections of Initial Selection Document

- 6.1 This Initial Selection Document consists of parts 1 and 2 which comprise all the sections indicated below, and which should be read in conjunction with any Addendum issued in accordance with ITA 8.

PART 1 Initial Selection Procedures

- Section I - Instructions to Applicants (**ITA**)
- Section II - Initial Selection Data Sheet (**ISDS**)
- Section III - Initial Selection Criteria and Requirements
- Section IV - Application Forms
- Section V – Not used
- Section VI – Fraud and Corruption

PART 2 Employer's Requirements

- Section VII - Scope of Employer's Requirement

6.2 Unless obtained directly from the Employer, the Employer accepts no responsibility for the completeness of the document, responses to requests for clarification, the minutes of the pre-Application meeting (if any), or Addenda to the Initial Selection Document in accordance with ITA 8. In case of any discrepancies, documents issued directly by the Employer shall prevail.

6.3 The Applicant is expected to examine all instructions, forms, and terms in the Initial Selection Document and to furnish with its Application all information or documentation as is required by the Initial Selection Document.

7. Clarification of Initial Selection Document and Pre-Application Meeting

7.1 An Applicant requiring any clarification of the Initial Selection Document shall contact the Employer in writing at the Employer's address indicated **in the ISDS**. The Employer will respond in writing to any request for clarification provided that such request is received no later than fourteen (14) days prior to the deadline for submission of the applications. The Employer shall forward a copy of its response to all prospective Applicants who have obtained the Initial Selection Document directly from the Employer, including a description of the inquiry but without identifying its source. If so indicated **in the ISDS**, the Employer shall also promptly publish its response at the web page identified **in the ISDS**. Should the Employer deem it necessary to amend the Initial Selection Document as a result of a clarification, it shall do so following the procedure under ITA 8 and in accordance with the provisions of ITA 17.2.

7.2 If indicated **in the ISDS**, the Applicant's designated representative is invited at the Applicant's cost to attend a pre-Application meeting at the place, date and time mentioned **in**

the ISDS. During this pre-Application meeting, prospective Applicants may request clarification of the project requirement, the criteria for qualifications or any other aspects of the Initial Selection Document.

7.3 Minutes of the pre-Application meeting, if applicable, including the text of the questions asked by Applicants, including those during the meeting (without identifying the source) and the responses given, together with any responses prepared after the meeting will be transmitted promptly to all prospective Applicants who have obtained the Initial Selection Document. Any modification to the Initial Selection Document that may become necessary as a result of the pre-Application meeting shall be made by the Employer exclusively through the use of an Addendum pursuant to ITA 8. Non-attendance at the pre-Application meeting will not be a cause for disqualification of an Applicant.

8. Amendment of Initial Selection Document

8.1 At any time prior to the deadline for submission of Applications, the Employer may amend the Initial Selection Document by issuing an Addendum.

8.2 Any Addendum issued shall be part of the Initial Selection Document and shall be communicated in writing to all Applicants who have obtained the Initial Selection Document from the Employer. The Employer shall promptly publish the Addendum at the Employer's web page identified **in the ISDS**.

8.3 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 ITA 17.2.

C. Preparation of Applications

9. Cost of Applications

9.1 The Applicant shall bear all costs associated with the preparation and submission of its Application. The Employer will in no case be responsible or liable for those costs, regardless of the conduct or outcome of the Initial Selection process.

10. Language of Application

10.1 The Application as well as all correspondence and documents relating to the Initial Selection exchanged by the Applicant and the Employer, shall be written in the language specified **in the ISDS**. Supporting documents and printed literature that are part of the Application may be in another language, provided they are accompanied by an accurate translation of the relevant passages in the language specified **in the ISDS**, in which case, for

purposes of interpretation of the Application, the translation shall govern.

**11. Documents
Comprising the
Application**

11.1 The Application shall comprise the following:

- (a) **Application Submission Letter**, in accordance with ITA 12.1;
- (b) **Eligibility:** documentary evidence establishing the Applicant's eligibility, in accordance with ITA 13.1;
- (c) **Qualifications:** documentary evidence establishing the Applicant's qualifications, in accordance with ITA 14; and
- (d) any other document required as specified **in the ISDS**.

11.2 The Applicant shall furnish information on commissions and gratuities, if any, paid or to be paid to agents or any other party relating to this Application

**12. Application
Submission Letter**

12.1 The Applicant shall complete an Application Submission Letter as provided in Section IV, Application Forms. This Letter must be completed without any alteration to its format.

**13. Documents
Establishing the
Eligibility of the
Applicant**

13.1 To establish its eligibility in accordance with ITA 4, the Applicant shall complete the eligibility declarations in the Application Submission Letter and Forms ELI (eligibility) 1.1 and 1.2, included in Section IV, Application Forms.

**14. Documents
Establishing the
Qualifications of the
Applicant**

14.1 To establish its qualifications to perform the contract(s) in accordance with Section III - Initial Selection Criteria and Requirements, the Applicant shall provide the information requested in the corresponding Information Sheets included in Section IV, Application Forms.

14.2 Wherever an Application Form requires an Applicant to state a monetary amount, Applicants should indicate the USD equivalent using the rate of exchange determined as follows:

- (a) for construction turnover or financial data required for each year - exchange rate prevailing on the last day of the respective calendar year (in which the amounts for that year are to be converted); and
- (b) value of single contract - exchange rate prevailing on the date of the contract.

Exchange rates shall be taken from the publicly available source identified **in the ISDS**. Any error in determining the

exchange rates in the Application may be corrected by the Employer.

15. Signing of the Application and Number of Copies

15.1 The Applicant shall prepare one original of the documents comprising the Application as described in ITA 11 and clearly mark it “ORIGINAL”. The original of the Application shall be typed or written in indelible ink and shall be signed by a person duly authorized to sign on behalf of the Applicant. In case the Applicant is a JV, the Application shall be signed by an authorized representative of the JV on behalf of the JV and so as to be legally binding on all the members as evidenced by a power of attorney signed by their legally authorized signatories.

15.2 The Applicant shall submit copies of the signed original Application, in the number specified **in the ISDS**, and clearly mark them “COPY”. In the event of any discrepancy between the original and the copies, the original shall prevail.

D. Submission of Applications

16. Sealing and Marking of Applications

16.1 The Applicant shall submit the Application via the Tender Portal that shall, within the document:

- (a) bear the name and address of the Applicant;
- (b) be addressed to the Employer, in accordance with ITA 17.1; and
- (c) bear the specific identification of this Initial Selection process indicated **in the ISDS 1.1**.

16.2 The Employer will accept no responsibility for not processing any submission was not identified as required in ITA 16.1 above.

17. Deadline for Submission of Applications

17.1 Applicants may only submit their Applications by the Tender Portal. Applications shall be received by the Employer at the address and no later than the deadline indicated **in the ISDS**. When so specified **in the ISDS**, Applicants have the option of submitting their Applications electronically, in accordance with electronic Application submission procedures specified **in the ISDS**.

17.2 The Employer may, at its discretion, extend the deadline for the submission of Applications by amending the Initial Selection Document in accordance with ITA 8, 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.

18. Late Applications

18.1 The Employer reserves the right to accept applications received after the deadline for submission of applications, unless otherwise specified **in the ISDS**.

19. Opening of Applications

19.1 The Employer shall open all Applications at the date, time and place specified **in the ISDS**. Late Applications shall be treated in accordance with ITA 18.1.

19.2 Applications submitted electronically (if permitted pursuant to ITA 17.1) shall be opened in accordance with the procedures specified in the **ISDS**.

19.3 The Employer shall prepare a record of the opening of Applications to include, as a minimum, the name of the Applicants. A copy of the record shall be distributed to all Applicants.

E. Procedures for Evaluation of Applications**20. Confidentiality**

20.1 Information relating to the Applications, their evaluation and results of the Initial Selection shall not be disclosed to Applicants or any other persons not officially concerned with the Initial Selection process until the notification of Initial Selection results is made to all Applicants in accordance with ITA 28.

20.2 From the deadline for submission of Applications to the time of notification of the results of the Initial Selection in accordance with ITA 28, any Applicant that wishes to contact the Employer on any matter related to the Initial Selection process may do so only in writing.

21. Clarification of Applications

21.1 To assist in the evaluation of Applications, the Employer may, at its discretion, ask an Applicant for a clarification (including missing documents) of its Application, to be submitted within a stated reasonable period of time. Any request for clarification from the Employer and all clarifications from the Applicant shall be in writing.

21.2 If an Applicant does not provide clarifications and/or documents requested by the date and time set in the Employer's request for clarification, its Application shall be evaluated based on the information and documents available at the time of evaluation of the Application.

22. Responsiveness of Applications

22.1 The Employer may reject any Application which is not responsive to the requirements of the Initial Selection Document. In case the information furnished by the Applicant is incomplete or otherwise requires clarification as per ITA 21.1, and the

Applicant fails to provide satisfactory clarification and/or missing information, it may result in disqualification of the Applicant.

23. Margin of Preference

23.1 Unless otherwise specified in the ISDS, a margin of preference for domestic Proposers¹ shall **not** apply in the RFP process resulting from this Initial Selection.

24. Subcontractors

24.1 Unless otherwise stated **in the ISDS**, the Employer does not intend to execute any specific elements of the Works Design and Build by sub-contractors selected in advance by the Employer (so-called “Nominated Subcontractors”).

24.2 The Applicant shall not propose to subcontract the whole of the contract. The Applicant may propose subcontractors for certain specialized parts of the contract. Applicants planning to use such specialized subcontractors shall specify, in the Application Submission Letter, the parts of the contract proposed to be subcontracted along with details of the proposed subcontractors including their qualification and experience.

F. Evaluation of Applications and Initial Selection of Applicants

25. Evaluation of Applications

25.1 The Employer shall use the factors, methods, criteria, and requirements defined in Section III, Initial Selection Criteria and Requirements and the ISDS to evaluate the qualifications of the Applicants, and no other factors, methods, criteria, or requirements shall be used. The Employer reserves the right to waive minor deviations from the qualification criteria if they do not materially affect the technical capability and financial resources of an Applicant to perform the Contract.

25.2 Subcontractors proposed by the Applicant shall be fully qualified for their parts of the contract. The subcontractor’s qualifications shall not be used by the Applicant to qualify for the contract unless the applicant designates them as Specialized Subcontractors, in which case, the qualifications of the Specialized Subcontractor proposed by the Applicant may be added to the qualifications of the Applicant for the purpose of the evaluation, if specified in ISDS.

¹ An individual firm is considered a domestic Proposer for purposes of the margin of preference if it is registered in the country of the Employer, has more than 50 percent ownership by nationals of the country of the Employer, and if it does not subcontract more than 10 percent of the contract price, excluding provisional sums, to foreign contractors. JVs are considered as domestic Proposers and eligible for domestic preference only if the individual member firms are registered in the country of the Employer, have more than 50 percent ownership by nationals of the country of the Employer, and the JV shall be registered in the country of the Borrower. The JV shall not subcontract more than 10 percent of the contract price, excluding provisional sums, to foreign firms. JVs between foreign and national firms will not be eligible for domestic preference.

25.3 In case of multiple contracts, Applicants should indicate in their Applications the individual contract or combination of contracts in which they are interested. The Employer shall initially select each Applicant for the maximum combination of contracts for which the Applicant has thereby indicated its interest and for which the Applicant meets the appropriate aggregate requirements specified in Section III - Initial Selection Criteria and Requirements.

25.4 However, with respect to the specific experience under item Section III (Qualification Criteria and Requirements), 4.2, the Employer will select any one or more of the options as identified below:

N is the minimum number of contracts

V is the minimum value of a single contract.

(a) Initial Selection for one Contract:

Option 1: (i) N contracts, each of minimum value V;

Or

Option 2: (i) N contracts, each of minimum value V,

Or

(ii) Less than or equal to N contracts, each of minimum value V, but with total value of all contracts equal or more than $N \times V$

(b) Initial Selection for Multiple Contracts

Option 1: (i) Minimum requirements for combined contract(s) shall be the aggregate requirements for each contract for which the Applicant has applied for as follows, and N1, N2, N3, etc. shall be different contracts:

Lot 1: N1 contracts, each of minimum value V1;

Lot 2: N2 contracts, each of minimum value V2;

Lot 3: N3 contracts, each of minimum value V3; ----etc.

Or

Option 2: (i) Minimum requirements for combined contract(s) shall be the aggregate

requirements for each contract for which the Applicant has applied for as follows, and N1, N2, N3, etc. shall be different contracts:

Lot 1: N1 contracts, each of minimum value V1;

Lot 2: N2 contracts, each of minimum value V2;

Lot 3: N3 contracts, each of minimum value V3; ----etc.,

Or

- (ii) **Lot 1:** N1 contracts, each of minimum value V1; or number of contracts less than or equal to N1, each of minimum value V1, but with total value of all contracts equal or more than $N1 \times V1$

Lot 2: N2 contracts, each of minimum value V2; or number of contracts less than or equal to N2, each of minimum value V2, but with total value of all contracts equal or more than $N2 \times V2$

Lot 3: N3 contracts, each of minimum value V3; or number of contracts less than or equal to N3, each of minimum value V3, but with total value of all contracts equal or more than $N3 \times V3$ ----etc.

Or

- Option 3: (i) Minimum requirements for combined contract(s) shall be the aggregate requirements for each contract for which the Applicant has applied for as follows, and N1, N2, N3, etc. shall be different contracts:

Lot 1: N1 contracts, each of minimum value V1;

Lot 2: N2 contracts, each of minimum value V2;

Lot 3: N3 contracts, each of minimum value V3; ----etc.,

Or

- (ii) **Lot 1:** N1 contracts, each of minimum value V1; or number of contracts less than or equal to N1, each of minimum value V1, but with total value of all contracts equal or more than $N1 \times V1$

Lot 2: N2 contracts, each of minimum value V2; or number of contracts less than or equal to N2, each of minimum value V2, but with total value of all contracts equal or more than $N2 \times V2$

Lot 3: N3 contracts, each of minimum value V3; or number of contracts less than or equal to N3, each of minimum value V3, but with total value of all contracts equal or more than $N3 \times V3$ ----etc.,

Or

- (iii) Subject to compliance as per (ii) above with respect to minimum value of single contract for each lot, total number of contracts is equal or less than $N1 + N2 + N3$ ---but the total value of all such contracts is equal or more than $N1 \times V1 + N2 \times V2 + N3 \times V3$ +---.

25.5 Only the qualifications of the Applicant shall be considered. The qualifications of other firms, including the Applicant's subsidiaries, parent entities, affiliates, subcontractors (other than specialized subcontractors in accordance with ITA 25.2 above) or any other firm(s) different from the Applicant shall not be considered.

26. Employer's Right to Accept or Reject Applicants

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

27. Initial Selection of Applicants

27.1 The range of Applicants that the Employer may Initially Select (x=minimum number, y = maximum number) is specified in the ISDS.

27.2 Initial Selection of Applicants involves several steps, as follows:

- (a) **Step 1 - Table 1 Evaluation:** The first step of Initial Selection involves evaluation against the methods,

criteria and requirements described in Section III, Table 1: Qualification Criteria and Requirements;

- (b) **Step 2 - Rejection:** Applicants that do not substantially meet the qualification criteria and requirements in Table 1: Qualification Criteria and Requirements will not be evaluated further, and will be eliminated from the Initial Selection process;
- (c) **Step 3 - Long List:** Applicants that substantially meet the qualification criteria and requirements in Table 1: Qualification Criteria and Requirements will be long listed, and evaluated further;
- (d) **Step 4 -** Depending on the number of Applicants that are long listed, one of the following options will apply:

Option 1: All are Initially Selected: Where the number of long listed Applicants is $\leq x$, all long-listed Applicants are Initially Selected. In this scenario, there is no requirement to evaluate these long-listed Applicants against Table 2: Rated Criteria and Requirements;

Option 2: Applicants are evaluated using Table 2 Evaluation: Where the number of long listed Applicants is $> x$, the Employer shall evaluate all long-listed Applicants against Table 2: Rated Criteria and Requirements. This evaluation method involves scoring each Application against rated criteria using the scoring methodology described;

- (e) **Step 5 - Rank Applicants:** The total scores, from this step of the Initial Selection evaluation, for each long-listed Applicant are compared, and the Applicants are ranked from the highest to the lowest total score;
- (f) **Step 6 - Initial Selection up to x:** In accordance with the values selected by the Employer for x and y , the Employer Initially Selects the Applicants that are ranked from the highest score, to the Applicants ranked as x ;
- (g) **Step 7 – Reject $y+1$ Applicants:** Where the number of long listed Applicants is $> y$, the Employer rejects all Applicants that are ranked greater than y , i.e. ranked as $y+1$, $y+2$, $y+3$, etc.;
- (h) **Step 8 - Optional, at the Employer’s Discretion:**

Ranked Applicants which are greater than **x**, up to, and including **y**, are not normally Initially Selected. However, the Employer may, at its sole discretion, if justified, Initially Select one or more additional Applicant (s) from those that are ranked **x+1**, up to and including **y**. This Initial Selection will follow the order of ranking (i.e. the Employer cannot Initially Select **x+2**, without Initially Selecting **x+1**).

28. Notification of Initial Selection

28.1 The Employer shall notify all Initially Selected Applicants in writing that they have been Initially Selected. In providing this notification the Employer shall include the names of all Applicants that have been Initially Selected.

28.2 The Employer shall separately notify all other Applicants that they have not been Initially Selected, and that they have been eliminated from the process. Any Applicant that has been eliminated from the process at this stage may request, in writing, the grounds on which they were eliminated.

29. Request for Proposals

29.1 Promptly after the notification of the results of the Initial Selection, the Employer shall invite Proposals from all the Applicants that have been initially selected.

29.2 Proposers may be required to provide a Proposal Security or a Proposal-Securing Declaration acceptable to the Employer in the form and an amount to be specified in the RFP document, and the successful Proposer shall be required to provide a Performance Security as specified in the RFP document.

29.3 The successful Proposer shall be required to provide a Performance Security as specified in the RFP document.

29.4 If applicable, the successful Proposer may also be required to provide a separate Environmental and Social (ES) Performance Security.

29.5 Proposers shall be required to provide a Code of Conduct which will apply to their and subcontractors' personnel that includes the minimum requirements specified in the RFP document.

29.6 Proposers shall also be required to provide additional information about their beneficial ownership in the Application Submission Letter in the RFP Document.

29.7 If specified in the ISDS, the Employer intends to require Proposers to submit a Sexual Exploitation, Abuse and Harassment (SEAH) Performance Declaration, using the

Sexual Exploitation Abuse and Harassment (SEAH) Performance Declaration form included in the RFP documents.

29.8 Prior to Contract award, the Employer will verify that the successful Proposer (including each member of a JV) is not disqualified by the AIFFP Financier due to noncompliance with contractual SEAH prevention and response obligations. The Employer will conduct the same verification for each subcontractor proposed by the successful Proposer. If any proposed subcontractor does not meet the requirement, the Employer will require the Proposer to propose a replacement subcontractor

**30. Changes in
Qualifications of
Applicants**

30.1 Any change in the structure or formation of an Applicant after being initially selected in accordance with ITA 27 and invited to submit Proposal (including, in the case of a JV, any change in the structure or formation of any member and including any change in any specialized subcontractor) shall be subject to the written approval of the Employer prior to the deadline for submission of Proposals. Such approval shall be denied if (i) an initially selected applicant proposes to associate with a disqualified applicant or in case of a disqualified joint venture, any of its members; (ii) as a consequence of the change, the Applicant no longer substantially meets the qualification criteria set forth in Section III - Initial Selection Criteria and Requirements Table 1- Qualification Criteria, and Requirements; or (iii) no longer continues to be in the list of Initially Selected Applicants as a result of the Employer's re-evaluation of the Application in accordance with ITA 27; or (iv) in the opinion of the Employer, the change may result in a substantial reduction in competition. Any such change should be submitted to the Employer not later than fourteen (14) days after the date of the Request for Proposals.

**31. Procurement Related
Complaint**

31.1 The procedures for making a Procurement-related Complaint are as specified in the ISDS.

Section II - Initial Selection Data Sheet (ISDS)

A. General	
ITA 1.1	<p>The identification of the Invitation for Initial Selection is: 57/2022</p> <p>The Employer is: PNG POWER LTD, Danae Pala, Procurement Officer, dpala@pngpower.com.pg</p> <p>The list of contract/s is: 57/2022</p> <p>RFP name and number are: Ramu 1 Hydro Power Station Refurbishment – Mechanical and Electrical Works 57/2022</p>
ITA 2.1	<p>The Financing Recipient is: PNG POWER LTD</p> <p>Loan and/or Grant Agreement amount: N/A</p> <p>The name of the Project is: PPL Hydro Station Refurbishment – Mechanical and Electrical Works</p>
ITA 4.2	Maximum number of members in the JV shall be: “not limited”
B. Contents of the Initial Selection Document	
ITA 7.1	<p>For clarification purposes, the Employer's address is:</p> <p>“Same as in ITA1.1 above”</p> <p>Attention: Danae Pala</p> <p>Address: PNG Power, Cnr Wards Road & Cordia St,</p> <p>City: Port Moresby</p> <p>ZIP Code: 111</p> <p>Country: Papua New Guinea</p> <p>Telephone: +675 324 3433</p> <p>Electronic mail address: dpala@pngpower.com.pg</p>

ITA 7.1 & 8.2	Web page: www.pngpower.com.pg
ITA 7.2	Pre-Application Meeting will be held: Yes Two weeks after documents have been issued, and invitation will be sent.
C. Preparation of Applications	
ITA 10.1	This Initial Selection document has been issued in the English language. All correspondence exchange shall be in the English language. The Application as well as all correspondence shall be submitted in English .
ITA 11.1 (d)	The Applicant shall submit with its Application, the following additional documents: <ul style="list-style-type: none"> • N/A
ITA 14.2	The source for determining exchange rates is Bank of Papua New Guinea
ITA 15.2	The number of copies to be submitted with the Application is: null

D. Submission of Applications

ITA 17.1	<p>The deadline for Application submission is:</p> <p>Date: 2nd December 2022</p> <p>Time: 14:00 UTC+10</p> <p>For Application submission purposes only, the Employer's address is:</p> <p>Employer's address is the same as that indicated in 1.1</p> <p>Attention: Danae Pala</p> <p>Address: PNG Power, Cnr Wards Road & Cordia St,</p> <p>City: Port Moresby</p> <p>ZIP Code: 111</p> <p>Country: Papua New Guinea</p> <p>Telephone: +675 324 3433</p> <p>Electronic mail address: dpala@pngpower.com.pg</p> <p>Applicants only have the option of submitting their applications electronically. No hard copies are to be submitted.</p> <p>The electronic Application submission procedures shall be only registered users on Tender Link will have access to the PNG Power LTD tender portal (there may be a fee associated with this). PNG Power will issue an open invitation to all interested parties, with details as to how to access and download the relevant information.</p>
ITA 18.1	<p>Late Applications will not be allowed to be uploaded onto the Tender Link portal. The portal automatically closes off on the designated date and time.</p>
ITA 19.1	<p>The opening of the Applications shall be at 2nd December 2022 16:00 UTC+10</p>
ITA 19.2	<p>The electronic Application opening procedures shall be:</p> <p>On successful closing of the bids, the tender portal is electronically locked automatically, and no other submissions will be allowed. An electronic key is used to the Procurement Officer managing the bid, who then electronically unlocks the bids. These bids are then read out by the officer in charge, at the designated time and media. All participants will be allowed access to the opening sessions, either online or in-person as allowed.</p>
E. Procedures for Evaluation of Applications	
ITA 24.1	<p>At this time the Employer does not intend to execute certain specific parts of the contract by sub-contractors selected in advance.</p>

F. Evaluation of Applications and Initial Selection of Applicants	
ITA 25.2	The relevant qualifications of the proposed Specialized Subcontractors will not be added to the qualifications of the Applicant for the purpose of evaluation as indicated in Section III - Initial Selection Criteria and Requirements.
ITA 27.1	<p>Initial Selection – minimum number (x)</p> <p>The Employer intends to Initially Select the following number of long listed Applications: three (3). This number is referred to as x and is the minimum number to be Initially Selected.</p> <p>Initial Selection – maximum number (y)</p> <p>The Employer, may, at its sole discretion, Initially Select more than the minimum number of long listed Applications. The maximum number that may be Initially Selected is ten (10). This number is referred to as y.</p>
ITA 29.7	The Employer does not intend to require Applicants to submit Sexual Exploitation, Abuse and Harassment (SEAH) Performance Declaration.
ITA 31.1	<p>The procedures for making a Procurement-related Complaint are detailed in the “Procurement Regulations for IPF Borrowers (Annex III).” If an Applicant wishes to make a Procurement-related Complaint, the Applicant shall submit its complaint following these procedures, in writing (by the quickest means available, that is either by email or fax), to:</p> <p>For the attention: Danae Pala</p> <p>Title/position: Procurement Officer</p> <p>Employer: PNG Power LTD</p> <p>Email address: dpala@pngpower.com.pg</p> <p>In summary, at this stage, a Procurement-related Complaint may challenge any of the following:</p> <ol style="list-style-type: none"> 1. the terms of the Initial Selection Document; and 2. the Employer’s decision not to initially select an Applicant.

Section III - Initial Selection Criteria and Requirements

This section contains all the methods, criteria, and requirements that the Employer shall use to evaluate Applications. The information to be provided in relation to each requirement and the definitions of the corresponding terms are included in the respective Application Forms.

Contents

Table 1 – Qualification Criteria and Requirements.....	31
1. Eligibility	31
2. Historical Contract Non-Performance	32
3. Financial Situation and Performance.....	35
4. Experience	37
Table 2 – Rated Criteria and Requirements	39
1. Past Performance	39
2. Contract/Project Management Capability	40
3. Employer’s Requirements	41
4. Sustainable Procurement	42

Table 1 – Qualification Criteria and Requirements**1. Eligibility**

Criteria			Single Entity Requirements	Joint Venture Requirements			Documentation
No.	Subject	Requirement		All Members Combined	Each Member	One Member	Submission Requirements
1.1	Nationality	Nationality in accordance with ITA 4.5	Must meet requirement	Must meet requirement	Must meet requirement	N/A	Forms ELI – 1.1 and 1.2, with attachments
1.2	Conflict of Interest	No conflicts of interest in accordance with ITA 4.6	Must meet requirement	Must meet requirement	Must meet requirement	N/A	Application Submission Letter
1.3	AIFFP Eligibility	Not being on a Debarment List or otherwise ineligible for reasons relating to corrupt practices and fraud, as described in ITA 4.7 and 5.1	Must meet requirement	Must meet requirement	Must meet requirement	N/A	Application Submission Letter
1.4	State-owned Entity of the Financing Recipient Country	Applicant required to meet conditions of ITA 4.8	Must meet requirement	Must meet requirement	Must meet requirement	N / A	Forms ELI -1.1 and 1.2, with attachments
1.5	Restricted Party, Sanctions	Not being ineligible as a result of being a Restricted Party in accordance with ITA 5.1.	Must meet requirement	Must meet requirement	Must meet requirement	N/A	Forms ELI – 1.1 and 1.2, with attachments

2. Historical Contract Non-Performance

Criteria			Single Entity Requirements	Joint Venture Requirements			Documentation
No.	Subject	Requirement		All Members Combined	Each Member	One Member	Submission Requirements
2.1	History of Non-Performing Contracts	Non-performance of a contract ¹ did not occur as a result of contractor's default since 1st January 2017 .	Must meet requirement	Must meet requirements	Must meet requirement ²	N/A	Form CON-2
2.2	Suspension Based on Execution of Bid or Proposal Securing Declaration by the Employer	Not under suspension based on execution of Bid or Proposal Securing Declaration pursuant to ITA 4.10.	Must meet requirement	Must meet requirement	Must meet requirement	N/A	Application Submission Letter
2.3	Pending Litigation	Applicant's financial position and prospective long-term profitability still sound according to criteria established in 3.1 below and assuming that all pending litigation will be resolved against the Applicant	Must meet requirement	N/A	Must meet requirement	N/A	Form CON – 2
2.4	Litigation History	No consistent history of court/arbitral award decisions against the Applicant ³ since 1st January 2017	Must meet requirement	Must meet requirement	Must meet requirement	N/A	Form CON – 2

¹ Nonperformance, as decided by the Employer, shall include all contracts where (a) nonperformance was not challenged by the contractor, including through referral to the dispute resolution mechanism under the respective contract, and (b) contracts that were so challenged but fully settled against the contractor. Nonperformance shall not include contracts where Employers decision was overruled by the dispute resolution mechanism. Nonperformance must be based on all information on fully settled disputes or litigation, i.e. dispute or litigation that has been resolved in accordance with the dispute resolution mechanism under the respective contract and where all appeal instances available to the applicant have been exhausted.

² This requirement also applies to contracts executed by the Applicant as JV member.

³ The Applicant shall provide accurate information on the related Application Form about any litigation or arbitration resulting from contracts completed or ongoing under its execution over the last five years. A consistent history of awards against the Applicant or any member of a joint venture may result in rejection of the Application.

Criteria			Single Entity Requirements	Joint Venture Requirements			Documentation
No.	Subject	Requirement		All Members Combined	Each Member	One Member	Submission Requirements
2.5	Declaration: Environmental and Social (ES) past performance	Declare any civil work contracts that have been suspended or terminated and/or performance security called by an employer for reasons related to the non-compliance of any environmental, or social (including SEAH, CHEAH, modern slavery) contractual obligations in the past five years. ⁴	Must make the declaration. Where there is Specialized Sub-contractor/s such Specialized Sub-contractor/s must make the declaration.	N/A	Each must make the declaration. Where there is Specialized Sub-contractor/s such Specialized Sub-contractor/s must make the declaration.	N/A	Form CON-3 ES Performance Declaration
2.6	SEAH related Disqualification by World Bank or other similar institutions	(a) At the time of Contract Award, not subject to disqualification by the World Bank or similar institutions for non-compliance with SEAH obligations (b) If the Applicant had been subject to disqualification by the World Bank or similar institutions for non-compliance with SEAH obligations, the Applicant shall either (i) provide evidence of an arbitral award on the disqualification made in its favour; or (ii) demonstrate that it has adequate capacity and commitment to comply with SEAH prevention	Must meet requirement (including each subcontractor)	N/A	Must meet requirement (including each subcontractor proposed by the Applicant)	N/A	Application Submission Letter, Form CON-4

⁴ The Employer or AIFFP may use this information to seek further information or clarifications during the request for proposal stage and the associated due diligence.

Criteria			Single Entity Requirements	Joint Venture Requirements			Documentation
No.	Subject	Requirement		All Members Combined	Each Member	One Member	Submission Requirements
		and response obligations.					

3. Financial Situation and Performance

Criteria			Single Entity Requirements	Joint Venture Requirements			Documentation
No.	Subject	Requirement		All Members Combined	Each Member	One Member	Submission Requirements
3.1	Financial Capabilities	(i) The Applicant shall demonstrate that it has access to, or has available, liquid assets, unencumbered real assets, lines of credit, and other financial means (independent of any contractual advance payment) sufficient to meet the cash flow requirements estimated as USD \$20m for the subject contract(s) net of the Applicants other commitments.	Must meet requirement	Must meet requirement	N/A	N/A	Form FIN – 3.1, with attachments
		(ii) The Applicant shall also demonstrate, to the satisfaction of the AIFFP Financier, that it has adequate sources of finance to meet the cash flow requirements on contracts currently in progress and for future contract commitments.	Must meet requirement	Must meet requirement	N/A	N/A	
		(iii) The audited balance sheets or, if not required by the laws of the Applicant's country, other financial statements acceptable to the AIFFP Financier, for the last five (5) years shall be submitted and must demonstrate the current soundness of the Applicant's financial position and indicate its	Must meet requirement	N/A	Must meet requirement	N/A	

Criteria			Single Entity Requirements	Joint Venture Requirements			Documentation
No.	Subject	Requirement		All Members Combined	Each Member	One Member	Submission Requirements
		prospective long-term profitability.					
3.2	Average Annual Turnover	Minimum average annual construction turnover of US\$100m , calculated as total certified payments received for contracts in progress and/or completed within the last 5 years, divided by five years.	Must meet requirement	Must meet requirement	N/A	N/A	Form FIN – 3.2

4. Experience

Criteria			Single Entity Requirements	Joint Venture Requirements			Documentation
No.	Subject	Requirement		All Members Combined	Each Member	One Member	Submission Requirements
4.1	General Experience	Experience under construction contracts in the role of prime contractor, JV member, subcontractor, or management contractor for at least the last 10 years, starting 1 st January 2010	Must meet requirement	N/A	Must meet requirement	N/A	Form EXP – 4.1
4.2 (a)	Specific Experience	<p>A minimum number of 3 similar contracts specified below that have been satisfactorily and substantially⁵ completed as a prime contractor, joint venture member⁶, management contractor or subcontractor between 1st January 2010 and Application submission deadline:</p> <p>Less than or equal to 3 contracts, each of minimum value US\$10m, but with total value of all contracts equal or more than N x V;</p> <p>Each of the contracts required above shall demonstrate to have successfully retrofitted turbines and</p>	Must meet requirement	Must meet requirement ⁷	N/A	N/A	Form EXP 4.2

⁵ Substantial completion shall be based on 80% or more of the contract completed.

⁶ For contracts under which the Applicant participated as a joint venture member or sub-contractor, only the Applicant's role and responsibilities shall be considered to meet this requirement.

⁷ In the case of JV, the value of contracts completed by its members shall not be aggregated to determine whether the requirement of the minimum value of a single contract has been met. Instead, each contract performed by a member contributing to meeting the requirement shall satisfy the minimum value of a single contract as required for single entity. In determining whether the JV meets the requirement of total number of contracts, only the number of contracts completed by members, each of value equal or more than the minimum value required, shall be aggregated.

Criteria			Single Entity Requirements	Joint Venture Requirements			Documentation
No.	Subject	Requirement		All Members Combined	Each Member	One Member	Submission Requirements
		<p>generators in existing hydro power stations, through the whole design, procure, install and commissioning phases.</p> <p>A minimum design experience, using the above or other contracts, in at least 3 contracts shall be demonstrated for the following key activities:</p> <p>Design and manufacture of turbines/generators to fit in existing structures</p> <p>Planning and understanding the various interfacing required to execute such projects, especially during the stripping of existing plant and fitting of new plant</p> <p>Attention to detail on the design interface between new and old plant</p>					
4.2 (b)	Specific Experience in managing ES aspects	For the contracts in 4.2 (a) above and/or any other contracts 3 as prime contractor, joint venture member, or Subcontractor between 1st January 2017 and Application submission deadline, experience in managing ES risks and impacts.	Must meet requirement	Must meet requirement	N/A	N/A	Form EXP – 4.2 (b)

Table 2 – Rated Criteria and Requirements

1. Past Performance

							Scoring		Documentation												
Requirement							Maximum score	Remark	Submission Requirement												
<p>Number of similar contracts</p> <p>Number of satisfactorily and substantially completed Works contracts that exceed the number specified in Table 1, Sub-Factor 4.2(where this number is x) that are:</p> <div><div>1.</div><div>similar to the Requirements (<u>Reference Table 1, 4.2</u>); and</div></div> <div><div>2.</div><div>completed during the past 10 years. [insert number equal or more than the number of years specified in Table 1, Sub-Factor 4.2</div></div> <div><p>Scoring methodology:</p><table><tr><td>Number of contracts</td><td>[>= x+4 contracts]</td><td>[x+3 contracts]</td><td>[x+2 contracts]</td><td>[x+1 contracts]</td><td>[x contracts]</td></tr><tr><td>Weighting</td><td>100</td><td>90</td><td>80</td><td>60</td><td>50</td></tr></table></div>							Number of contracts	[>= x+4 contracts]	[x+3 contracts]	[x+2 contracts]	[x+1 contracts]	[x contracts]	Weighting	100	90	80	60	50	40	In case of JV, all members combined will be evaluated.	Form EXP 4.2
Number of contracts	[>= x+4 contracts]	[x+3 contracts]	[x+2 contracts]	[x+1 contracts]	[x contracts]																
Weighting	100	90	80	60	50																

2. Contract/Project Management Capability

Criteria					Scoring		Documentation										
Requirement					Maximum score	Remark	Submission Requirement										
<p>Contract/project management capability in the following key areas:</p> <ol style="list-style-type: none">1. Description of project management system/s and how they will be applied (including status of accreditation with recognized international standards applicable to the industry)2. Risk Assessments & Mitigation3. Work, Health, and Safety4. Environmental and Social management practice, and5. Use of value Engineering, innovation, and continuous improvement. <p>Scoring methodology:</p> <table><tr><td>Key areas:</td><td><i>All</i></td><td><i>4</i></td><td><i>3</i></td><td><i><=2</i></td></tr><tr><td>Initial score</td><td><i>100</i></td><td><i>70</i></td><td><i>50</i></td><td><i>0</i></td></tr></table>					Key areas:	<i>All</i>	<i>4</i>	<i>3</i>	<i><=2</i>	Initial score	<i>100</i>	<i>70</i>	<i>50</i>	<i>0</i>	30	In case of JV, the capability of the lead member will be evaluated	Table 2-PM
					Key areas:	<i>All</i>	<i>4</i>	<i>3</i>	<i><=2</i>								
					Initial score	<i>100</i>	<i>70</i>	<i>50</i>	<i>0</i>								

3. Employer's Requirements

Criteria		Scoring		Documentation										
Requirement		Maximum score	Remark	Submission Requirement										
<p>Understanding of the Employer's Requirements through an outline of the following:</p> <ol style="list-style-type: none"> 1. Approach to the contract (including meeting Environmental and Social (ES) requirements, including, as applicable, WHS SEAH, CHEAH, modern slavery risks.) 2. Program of the main design and works activities 3. Key impacts and risks (including those of an ES nature).] <p>Scoring methodology:</p> <table border="1"> <tr> <td>Key aspects:</td><td><i>All</i></td><td><i>2</i></td><td><i>1</i></td><td><i>0</i></td></tr> <tr> <td>Initial score</td><td><i>100</i></td><td><i>70</i></td><td><i>40</i></td><td><i>0</i></td></tr> </table>		Key aspects:	<i>All</i>	<i>2</i>	<i>1</i>	<i>0</i>	Initial score	<i>100</i>	<i>70</i>	<i>40</i>	<i>0</i>	20		Table 2-ER
Key aspects:	<i>All</i>	<i>2</i>	<i>1</i>	<i>0</i>										
Initial score	<i>100</i>	<i>70</i>	<i>40</i>	<i>0</i>										

4. Sustainable Procurement

Criteria					Scoring		Documentation										
Requirement					Maximum score	Remark	Submission Requirement										
<p>Sustainable procurement (to be specified by the Employer) practices in the following key areas:</p> <ul style="list-style-type: none">1. Sustainable procurement practice, and2. Track record of delivering sustainable procurement outcomes.3. Use of local skills and resources as applicable <p>Scoring methodology:</p> <table><tr><td>Key aspects:</td><td><i>All</i></td><td><i>2</i></td><td><i>1</i></td><td><i>0</i></td></tr><tr><td>Initial score</td><td><i>100</i></td><td><i>70</i></td><td><i>40</i></td><td><i>0</i></td></tr></table>					Key aspects:	<i>All</i>	<i>2</i>	<i>1</i>	<i>0</i>	Initial score	<i>100</i>	<i>70</i>	<i>40</i>	<i>0</i>	20	In case of JV, at least one member will be evaluated.	Table 2-SP
					Key aspects:	<i>All</i>	<i>2</i>	<i>1</i>	<i>0</i>								
					Initial score	<i>100</i>	<i>70</i>	<i>40</i>	<i>0</i>								

Section IV - Application Forms

Table of Forms

Application Submission Letter	44
Form ELI -1.1 Applicant Information Form	48
Form ELI -1.2 Applicant's JV Information Form.....	50
Form CON – 2 Historical Contract Non-Performance, Pending Litigation and Litigation History	52
Form CON – 3 ES Performance Declaration.....	55
Form CON – 4 Sexual Exploitation and Abuse (SEA) and/or Sexual Harassment Performance Declaration	57
Form FIN – 3.1 Financial Situation and Performance.....	59
Form FIN - 3.2 Average Annual Construction Turnover.....	61
Form EXP - 4.1 General Construction Experience	63
Form EXP - 4.2 (a) Specific Experience	64
Form EXP - 4.2(b) Specific Experience in Managing ES aspects	66
Table 2-PM Contract / Project Management Capability.....	67
Table 2-ER Understanding of the Employer's Requirement	68

Application Submission Letter

Date: *[insert day, month, and year]*
ISD No. and title: *[insert ISD number and title]*

To: *[insert full name of Employer]*

We, the undersigned, apply to be initially selected for the referenced Request for Proposal (RFP) and declare that:

- (a) **No reservations:** We have examined and have no reservations to the Initial Selection Document, including Addendum(s) No(s) issued in accordance with ITA 8: *[insert the number and issuing date of each addendum]*.
- (b) **No conflict of interest:** We have no conflict of interest in accordance with ITA 4.6;
- (c) **Eligibility:** We (and our subcontractors) meet the eligibility requirements as stated in ITA 4, we have not been suspended by the Employer based on execution of a Bid-Securing Declaration or Proposal-Securing Declaration in accordance with ITA 4.10;
- (d) **Suspension and Debarment:** We, along with any of our subcontractors, suppliers, consultants, manufacturers, or service providers for any part of the contract, are not on, and not controlled by any entity or individual that is on a Debarment List as defined in the ITA;
- (da) **Restricted Party:** We certify that we are not, and are not controlled by any entity or individual that is, a Restricted Party as defined in the ITA and that, based on our reasonable enquiries, none of our Subcontractors, suppliers, consultants, manufacturers, or service providers for any part of the Contract, are or are controlled by any individual or entity which is, a Restricted Party;
- (e) **Sexual Exploitation, Abuse and Sexual Harassment (SEAH):** *[select the appropriate option from (i) to (v) below and delete the others]*.

We *[where JV, insert: “including any of our JV members”]*, and any of our subcontractors:

- (i) *[have not been subject to disqualification by the World Bank or any other multi-lateral bank or bilateral donor for non-compliance with SEAH obligations.]*
- (ii) *[are subject to disqualification by the World Bank or any other multi-lateral bank or bilateral donor for non-compliance with SEAH obligations.]*
- (iii) *[had been subject to disqualification by the World Bank or any other multi-lateral bank or bilateral donor for non-compliance with SEAH obligations. An arbitral award on the disqualification case has been made in our favor.]*
- (iv) *[had been subject to disqualification by the World Bank or any other multi-lateral bank or bilateral donor for non-compliance with SEAH obligations for a period of two years. We have subsequently provided and demonstrated that*

we have adequate capacity and commitment to comply with SEH prevention and response obligations.]

(v) *[had been subject to disqualification by the World Bank or any other multi-lateral bank or bilateral donor for non-compliance with SEAH obligations for a period of two years. We have attached documents demonstrating that we have adequate capacity and commitment to comply with SEAH prevention and response obligations.]*

- (f) **State-owned enterprise or institution:** *[select the appropriate option and delete the other] [We are not a state-owned enterprise or institution] / [We are a state-owned enterprise or institution but meet the requirements of ITA 4.9];*
- (g) **Subcontractors and Specialized Subcontractors:** We, in accordance with ITA 24.2 and 25.2, plan to subcontract the following parts of the contract:
[Insert any part of the contract which the Applicant intends to subcontract along with complete details of the Specialized Subcontractors, their qualification and experience]
- (h) **Commissions, gratuities, fees:** We declare that the following commissions, gratuities, or fees have been paid or are to be paid with respect to the Initial Selection process, the corresponding RFP process or execution of the Contract:

<u>Name of Recipient</u>	<u>Address</u>	<u>Reason</u>	<u>Amount</u>
<i>[insert full name for each occurrence]</i>	<i>[insert street/number/city/country]</i>	<i>[indicate reason]</i>	<i>[specify amount currency, value, exchange rate and US\$ equivalent]</i>
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

[If no payments are made or promised, add the following statement: “No commissions or gratuities have been or are to be paid by us to agents or any third party relating to this Application”]

- (i) **Not bound to accept:** We understand that you may cancel the Initial Selection process at any time and that you are neither bound to accept any Application that you may receive nor to invite the initially selected Applicants to submit Proposal for the contract subject of this Initial selection process, without incurring any liability to the Applicants, in accordance with ITA 26.1.
- (j) **Fraud and Corruption:** We hereby certify that we have taken steps to ensure that no person acting for us or on our behalf engages in any type of Fraud and Corrupt Practices (as those terms are defined in Section VI);
- (k) **Modern Slavery:** We hereby certify that we have taken reasonable steps to examine our subcontractors and sub-subcontractors and so on right down the contracting chain (including all suppliers, tradespersons and consultants) to the extent identified at this time relevant to the works under the Contract (the **Supply Chain**) for evidence of Modern Slavery, and that we have not found any evidence of Modern Slavery in our Supply Chain. *[Applicant to insert where applicable]* *[We are obliged to report under the following [Modern Slavery Act 2018 (Cth), Modern Slavery Act 2015 (UK)/other human rights reporting law] [insert applicable human rights reporting law]. [The following is a link to our report submitted in accordance with the relevant law(s): [insert link]]*
- (i) **True and correct:** All information, statements and description contained in the Application are in all respect true, correct and complete to the best of our knowledge and belief.

Signed *[insert signature(s) of an authorized representative(s) of the Applicant]*

Name *[insert full name of person signing the Application]*

In the capacity of *[insert capacity of person signing the Application]*

Duly authorized to sign the Application for and on behalf of:

Applicant's Name *[insert full name of Applicant or the name of the JV]*

Address *[insert street number/town or city/country address]*

Dated on *[insert day number]* day of *[insert month]*, *[insert year]*

[For a joint venture, either all members shall sign or only the authorized representative, in which case the power of attorney to sign on behalf of all members shall be attached]

Form ELI -1.1

Applicant Information Form

Date: *[insert day, month, year]*ISD No. and title: *[insert ISD number and title]*Page *[insert page number]* of *[insert total number]* pages

Applicant's name

[insert full name]

In case of Joint Venture (JV), name of each member:

[insert full name of each member in JV]

Applicant's actual or intended country of registration:

[indicate country of Constitution]

Applicant's actual or intended year of incorporation:

[indicate year of Constitution]

Applicant's legal address [in country of registration]:

[insert street/ number/ town or city/ country]

Applicant's authorized representative information

Name: *[insert full name]*Address: *[insert street/ number/ town or city/ country]*Telephone/Fax numbers: *[insert telephone/fax numbers, including country and city codes]*E-mail address: *[indicate e-mail address]*

1. Attached are copies of original documents of

- ☐ Articles of Incorporation (or equivalent documents of constitution or association), and/or documents of registration of the legal entity named above, in accordance with ITA 4.5.
- ☐ In case of JV, letter of intent to form JV or JV agreement, in accordance with ITA 4.2.
- ☐ In case of state-owned enterprise or institution, in accordance with ITA 4.9 documents establishing:
- Legal and financial autonomy
 - Operation under commercial law
 - Establishing that the Applicant is not under supervision of the Employer

2. Included are the organizational chart, a list of Board of Directors, and the details of all beneficial ownership.

[details of beneficial ownership must include all identified beneficial ownership, and include the following details]

Details of beneficial ownership

Identity of Beneficial Owner	Directly or indirectly holding 25% or more of the shares (Yes / No)	Directly or indirectly holding 25 % or more of the Voting Rights (Yes / No)	Directly or indirectly having the right to appoint a majority of the board of the directors or an equivalent governing body of the Applicant (Yes / No)
<i>[include full name (last, middle, first), nationality, country of residence]</i>			

OR

(ii) *Confirmation that there is no Beneficial Owner meeting one or more of the following conditions:*

1. directly or indirectly holding 25% or more of the shares
2. directly or indirectly holding 25% or more of the voting rights
3. directly or indirectly having the right to appoint a majority of the board of directors or equivalent governing body of the Applicant

OR

(iii) *Confirmation that the Applicant is unable to identify any Beneficial Owner meeting one or more of the following conditions. [If this option is selected, the Applicant shall provide explanation on why it is unable to identify any Beneficial Owner]*

4. directly or indirectly holding 25% or more of the shares
5. directly or indirectly holding 25% or more of the voting rights
6. directly or indirectly having the right to appoint a majority of the board of directors or equivalent governing body of the Applicant]

Form ELI -1.2

Applicant's JV Information Form

[The following form is additional to Form ELI – 1.1., and shall be completed to provide information relating to each JV member (in case the Applicant is a JV) as well as any Specialized Subcontractor proposed to be used by the Applicant for any part of the Contract resulting from this Initial Selection]

Date: *[insert day, month, year]*

ISD No. and title: *[insert ISD number and title]*

Page *[insert page number]* of *[insert total number]* pages

Applicant name: <i>[insert full name]</i>
Applicant's JV Member's name: <i>[insert full name of Applicant's JV Member]</i>
Applicant's JV Member's country of registration: <i>[indicate country of registration]</i>
Applicant JV Member's year of constitution: <i>[indicate year of constitution]</i>
Applicant JV Member's legal address in country of constitution: <i>[insert street/ number/ town or city/ country]</i>
Applicant JV Member's authorized representative information Name: <i>[insert full name]</i> Address: <i>[insert street/ number/ town or city/ country]</i> Telephone/Fax numbers: <i>[insert telephone/fax numbers, including country and city codes]</i> E-mail address: <i>[indicate e-mail address]</i>
1. Attached are copies of original documents of <input type="checkbox"/> Articles of Incorporation (or equivalent documents of constitution or association), and/or registration documents of the legal entity named above, in accordance with ITA 4.5. <input type="checkbox"/> In case of a state-owned enterprise or institution, documents establishing legal and financial autonomy, operation in accordance with commercial law, and they are not under the supervision of the Employer, in accordance with ITA 4.9. 2. Included are the organizational chart, a list of Board of Directors, and the details of all beneficial ownership. <i>[details of beneficial ownership must include all identified beneficial ownership, and include the following details]</i> Details of beneficial ownership

Identity of Beneficial Owner	Directly or indirectly holding 25% or more of the shares (Yes / No)	Directly or indirectly holding 25 % or more of the Voting Rights (Yes / No)	Directly or indirectly having the right to appoint a majority of the board of the directors or an equivalent governing body of the Applicant (Yes / No)
<i>[include full name (last, middle, first), nationality, country of residence]</i>			

OR

(ii) *Confirmation that there is no Beneficial Owner meeting one or more of the following conditions:*

1. directly or indirectly holding 25% or more of the shares
2. directly or indirectly holding 25% or more of the voting rights
3. directly or indirectly having the right to appoint a majority of the board of directors or equivalent governing body of the Applicant

OR

(iii) *Confirmation that the Applicant is unable to identify any Beneficial Owner meeting one or more of the following conditions. [If this option is selected, the Applicant shall provide explanation on why it is unable to identify any Beneficial Owner]*

4. directly or indirectly holding 25% or more of the shares
5. directly or indirectly holding 25% or more of the voting rights
6. directly or indirectly having the right to appoint a majority of the board of directors or equivalent governing body of the Applicant]”

Form CON – 2

Historical Contract Non-Performance, Pending Litigation and Litigation History

[The following table shall be filled in for the Applicant and for each member of a Joint Venture]

Applicant's Name: *[insert full name]*

Date: *[insert day, month, year]*

Joint Venture Member's Name: *[insert full name]*

ISD No. and title: *[insert ISD number and title]*

Page *[insert page number]* of *[insert total number]* pages

Non-Performed Contracts in accordance with Section III, Table 1 Qualification Criteria, and Requirements			
<input type="checkbox"/> Contract non-performance did not occur since 1 st January <i>[insert year]</i> specified in Section III, – Table 1 Qualification Criteria, and Requirements, Sub-Factor 2.1.			
<input type="checkbox"/> Contract(s) not performed since 1 st January <i>[insert year]</i> specified in Section III, – Table 1 Qualification Criteria, and Requirements, Sub-Factor 2.1.			
Year	Non-performed portion of contract	Contract Identification	Total Contract Amount (current value, currency, exchange rate and US\$ equivalent)
<i>[insert year]</i>	<i>[insert amount and percentage]</i>	Contract Identification: <i>[indicate complete contract name/ number, and any other identification]</i> Name of Employer: <i>[insert full name]</i> Address of Employer: <i>[insert street/city/country]</i> Reason(s) for nonperformance: <i>[indicate main reason(s)]</i>	<i>[insert amount]</i>
Pending Litigation, in accordance with Section III, Table 1 Qualification Criteria, and Requirements			
<input type="checkbox"/> No pending litigation in accordance with Section III, Table 1 Qualification Criteria, and Requirements, Sub-Factor 2.3.			
<input type="checkbox"/> Pending litigation in accordance with Section III, Table 1 Qualification Criteria, and Requirements, Sub-Factor 2.3 as indicated below.			

Year of dispute	Amount in dispute (currency)	Contract Identification	Total Contract Amount (currency), USD Equivalent (exchange rate)
[insert year]	[insert amount]	Contract Identification: [indicate complete contract name, number, and any other identification] Name of Employer: [insert full name] Address of Employer: [insert street/city/country] Matter in dispute: [indicate main issues in dispute] Party who initiated the dispute: [indicate "Employer" or "Contractor"] Status of dispute:	[insert amount]
[insert year]	[insert amount]	Contract Identification: [indicate complete contract name, number, and any other identification] Name of Employer: [insert full name] Address of Employer: [insert street/city/country] Matter in dispute: [indicate main issues in dispute] Party who initiated the dispute: [indicate "Employer" or "Contractor"] Status of dispute:	[insert amount]
Litigation History in accordance with Section III, Table 1 Qualification Criteria, and Requirements			
<input type="checkbox"/> No Litigation History in accordance with Section III, Table 1 Qualification Criteria, and Requirements, Sub-Factor 2.4. <input type="checkbox"/> Litigation History in accordance with Section III, Table 1 Qualification Criteria, and Requirements, Sub-Factor 2.4 as indicated below.			
Year of award	Outcome as percentage of Net Worth	Contract Identification	Total Contract Amount (currency), USD Equivalent (exchange rate)

<i>[insert year]</i>	<i>[insert percentage]</i>	<p>Contract Identification: <i>[indicate complete contract name, number, and any other identification]</i></p> <p>Name of Employer: <i>[insert full name]</i></p> <p>Address of Employer: <i>[insert street/city/country]</i></p> <p>Matter in dispute: <i>[indicate main issues in dispute]</i></p> <p>Party who initiated the dispute: <i>[indicate “Employer” or “Contractor”]</i></p> <p>Reason(s) for Litigation and award decision <i>[indicate main reason(s)]</i></p>	<i>[insert amount]</i>
----------------------	----------------------------	---	------------------------

Form CON – 3

ES Performance Declaration

[The following table shall be filled in for the Applicant, each member of a Joint Venture and each Specialized Subcontractor]

Applicant's Name: *[insert full name]*

Date: *[insert day, month, year]*

Joint Venture Member's or Specialized Subcontractor's Name: *[insert full name]*

ISD No. and title: *[insert ISD number and title]*

Page *[insert page number]* of *[insert total number]* pages

Environmental and Social Performance Declaration in accordance with Section III, Qualification Criteria, and Requirements			
<input type="checkbox"/> No suspension or termination of contract: An employer has not suspended or terminated a contract and/or called the performance security for a contract for reasons related to Environmental or Social (ES) performance (including SEAH, CHEAH or modern slavery) since the date specified in Section III, Qualification Criteria, and Requirements, Sub-Factor 2.5.			
<input type="checkbox"/> Declaration of suspension or termination of contract: The following contract(s) has/have been suspended or terminated and/or Performance Security called by an employer(s) for reasons related to Environmental or Social (ES) performance since the date specified in Section III, Qualification Criteria, and Requirements, Sub-Factor 2.5. Details are described below:			
Year	Terminated contract or Suspended portion of contract	Contract Identification	Total Contract Amount (current value, currency, exchange rate and US\$ equivalent)
<i>[insert year]</i>	<i>[insert amount and percentage]</i>	Contract Identification: <i>[indicate complete contract name/ number, and any other identification]</i> Name of Employer: <i>[insert full name]</i> Address of Employer: <i>[insert street/city/country]</i> Reason(s) for suspension or termination: <i>[indicate main reason(s) e.g. gender based violence; sexual exploitation or sexual abuse breaches]</i>	<i>[insert amount]</i>
<i>[insert year]</i>	<i>[insert amount and percentage]</i>	Contract Identification: <i>[indicate complete contract name/ number, and any other identification]</i> Name of Employer: <i>[insert full name]</i>	<i>[insert amount]</i>

	Address of Employer: <i>[insert street/city/country]</i> Reason(s) for suspension or termination: <i>[indicate main reason(s)]</i>	
...	<i>[list all applicable contracts]</i>	...
Performance Security called by an employer(s) for reasons related to ES performance		
Year	Contract Identification	Total Contract Amount (current value, currency, exchange rate and US\$ equivalent)
<i>[insert year]</i>	Contract Identification: <i>[indicate complete contract name/ number, and any other identification]</i> Name of Employer: <i>[insert full name]</i> Address of Employer: <i>[insert street/city/country]</i> Reason(s) for calling of performance security: <i>[indicate main reason(s) e.g. for gender-based violence; sexual exploitation or sexual abuse breaches]</i>	<i>[insert amount]</i>

Form CON – 4

Sexual Exploitation, Abuse and Sexual Harassment (SEAH) Performance Declaration

[The following table shall be filled in by the Applicant, each member of a Joint Venture and each subcontractor proposed by the Applicant]

Applicant's Name: *[insert full name]*

Date: *[insert day, month, year]*

Joint Venture Member's or Subcontractor's Name: *[insert full name]*

ISD No. and title: *[insert ISD number and title]*

Page *[insert page number]* of *[insert total number]* pages

SEAH Declaration in accordance with Section III, Qualification Criteria, and Requirements
<p>We:</p> <p><input type="checkbox"/> (a) have not been subject to disqualification by the World Bank Group or any other development bank for non-compliance with SEAH obligations</p> <p><input type="checkbox"/> (b) are subject to disqualification by the World Bank Group or any other development bank for non-compliance with SEAH obligations</p> <p><input type="checkbox"/> (c) had been subject to disqualification by the World Bank Group or any other development bank for non-compliance with SEAH obligations. An arbitral award on the disqualification case has been made in our favor.</p> <p><input type="checkbox"/> (d) had been subject to disqualification by the World Bank Group or any other development bank for non-compliance with SEAH obligations for a period of two years. We have subsequently demonstrated that we have adequate capacity and commitment to comply with SEA/ SH obligations.</p> <p><input type="checkbox"/> (e) had been subject to disqualification by the World Bank Group or any other development bank for non-compliance with SEAH obligations for a period of two years. We have attached evidence demonstrating that we have adequate capacity and commitment to comply with SEA/ SH obligations.</p>
<p><i>[If (c) above is applicable, attach evidence of an arbitral award reversing the findings on the issues underlying the disqualification.]</i></p>
<p><i>[If (d) or (e) above are applicable, provide the following information:]</i></p>
<p>Period of disqualification: From: _____ To: _____</p>
<p>If previously provided for another AIFFP Financier financed works contract, details of evidence that demonstrated adequate capacity and commitment to comply with SEAH obligations (as per (d) above)</p> <p style="margin-left: 40px;">Name of Employer: _____</p> <p style="margin-left: 40px;">Name of Project: _____</p>

<p>Contract description: _____</p> <p>Brief summary of evidence provided: _____</p> <p>_____</p> <p>Contact Information: (Tel, email, name of contact person): _____</p> <p>_____</p>
<p>As an alternative to the evidence under (d), other evidence demonstrating adequate capacity and commitment to comply with SEAH obligations (as per (e) above) <i>[attach details as appropriate]</i>.</p>

Form FIN – 3.1

Financial Situation and Performance

[The following table shall be filled in for the Applicant and for each member of a Joint Venture]

Applicant's Name: *[insert full name]*

Date: *[insert day, month, year]*

Joint Venture Member's Name: *[insert full name]*

ISD No. and title: *[insert ISD number and title]*

Page *[insert page number]* of *[insert total number]* pages

1. Financial data

Type of Financial information in (currency)	Historic information for previous <i>[insert number]</i> years, <i>[insert in words]</i> (amount in currency, currency, exchange rate*, USD equivalent)				
	Year 1	Year 2	Year 3	Year 4	Year 5
Statement of Financial Position (Information from Balance Sheet)					
Total Assets (TA)					
Total Liabilities (TL)					
Total Equity/Net Worth (NW)					
Current Assets (CA)					
Current Liabilities (CL)					
Working Capital (WC)					
Information from Income Statement					
Total Revenue (TR)					
Profits Before Taxes (PBT)					
Cash Flow Information					
Cash Flow from Operating Activities					

* Refer ITA 14 for the exchange rate

2. Sources of Finance

[The following table shall be filled in for the Applicant and all parties combined in case of a Joint Venture]

Specify sources of finance to meet the cash flow requirements on contracts currently in progress and for future contract commitments.

No.	Source of finance	Amount (US\$ equivalent)
1		
2		
3		

3. Financial documents

The Applicant and its parties shall provide copies of financial statements for *[number]* years pursuant Section III, Table 1 –Qualification Criteria, and Requirements Sub-factor 3.1. The financial statements shall:

- (a) reflect the financial situation of the Applicant or in case of JV member, and not an affiliated entity (such as parent company or group member).
- (b) be independently audited or certified in accordance with local legislation.
- (c) be complete, including all notes to the financial statements.
- (d) correspond to accounting periods already completed and audited.

☐ Attached are copies of financial statements¹ for the *[number]* years required above; and complying with the requirements

¹ If the most recent set of financial statements is for a period earlier than 12 months from the date of Application, the reason for this should be justified.

Form FIN - 3.2

Average Annual Construction Turnover

[The following table shall be filled in for the Applicant and for each member of a Joint Venture]

Applicant's Name: *[insert full name]*

Date: *[insert day, month, year]*

Joint Venture Member's Name: *[insert full name]*

ISD No. and title: *[insert ISD number and title]*

Page *[insert page number]* of *[insert total number]* pages

Annual Construction Turnover Data			
Year	Amount Currency	Exchange rate*	USD equivalent
<i>[indicate calendar year]</i>	<i>[insert amount and indicate currency]</i>		
		Average Annual Construction Turnover **	

* Refer to ITA 14 for date and source of exchange rate.

** Total USD equivalent for all years divided by the total number of years. See Section III, Table 1 Qualification Criteria, and Requirements, 3.2.

Form EXP - 4.1

General Construction Experience

[The following table shall be filled in for the Applicant and in the case of a JV Applicant, each Member]

Applicant's Name: *[insert full name]*

Date: *[insert day, month, year]*

Joint Venture Member's Name: *[insert full name]*

ISD No. and title: *[insert ISD number and title]*

Page *[insert page number]* of *[insert total number]* pages

[Identify contracts that demonstrate continuous construction work over the past [number] years pursuant to Section III, Qualification Criteria and Requirements, Sub-Factor 4.1. List contracts chronologically, according to their commencement (starting) dates.]

Starting Year	Ending Year	Contract Identification	Role of Applicant
<i>[indicate year]</i>	<i>[indicate year]</i>	Contract name: <i>[insert full name]</i> Brief Description of the Contracts performed by the Applicant: <i>[describe contracts performed briefly]</i> Amount of contract: <i>[insert amount in currency, mention currency used, exchange rate and US\$ equivalent*]</i> Name of Employer: <i>[indicate full name]</i> Address: <i>[indicate street/number/town or city/country]</i>	<i>[insert "Prime Contractor" or "JV Member" or "Sub-contractor" or "Management Contractor"]</i>
		Contract name: <i>[insert full name]</i> Brief Description of the Contracts performed by the Applicant: <i>[describe contracts performed briefly]</i> Amount of contract: <i>[insert amount in currency, mention currency used, exchange rate and US\$ equivalent*]</i> Name of Employer: <i>[indicate full name]</i> Address: <i>[indicate street/number/town or city/country]</i>	<i>[insert "Prime Contractor" or "JV Member" or "Sub-contractor" or "Management Contractor"]</i>
		Contract name: <i>[insert full name]</i> Brief Description of the Contracts performed by the Applicant: <i>[describe contracts performed briefly]</i> Amount of contract: <i>[insert amount in currency, mention currency used, exchange rate and US\$ equivalent*]</i> Name of Employer: <i>[indicate full name]</i> Address: <i>[indicate street/number/town or city/country]</i>	<i>[insert "Prime Contractor" or "JV Member" or "Sub-contractor" or "Management Contractor"]</i>

* Refer to ITA 14 for date and source of exchange rate.

Form EXP - 4.2 (a)

Specific Experience

(Table 1, 4.2 and Table 2)

[The following table shall be filled in for contracts performed by the Applicant, each member of a Joint Venture, and Specialized Sub-contractors]

Applicant's Name: *[insert full name]*

Date: *[insert day, month, year]*

Joint Venture Member's Name: *[insert full name]*

ISD No. and title: *[insert ISD number and title]*

Page *[insert page number]* of *[insert total number]* pages

Similar Contract No. <i>[insert number] of [insert number of similar contracts required]</i>	Information			
Contract Identification	<i>[insert contract name and number, if applicable]</i>			
Award date	<i>[insert day, month, year, i.e., 15 June, 2015]</i>			
Completion date	<i>[insert day, month, year, i.e., 03 October, 2017]</i>			
Role in Contract <i>[check the appropriate box]</i>	Prime Contractor <input type="checkbox"/>	Member in JV <input type="checkbox"/>	Management Contractor <input type="checkbox"/>	Sub-contractor <input type="checkbox"/>
Total Contract Amount	<i>[insert total contract amount in local currency]</i>		US\$ <i>[insert Exchange rate and total contract amount in US\$ equivalent] *</i>	
If member in a JV or sub-contractor, specify share in value in total Contract amount and roles and responsibilities	<i>[insert a percentage amount]</i>	<i>[insert total contract amount in local currency]</i>	<i>[insert exchange rate and total contract amount in US\$ equivalent] *</i>	
	<i>[insert roles and responsibilities]</i>			
Description of the similarity in accordance with Section III Table 1, 4.2				
1. Amount	<i>[insert amount]</i>			
2. Physical size of required contracts items	<i>[insert physical size of items]</i>			
3. Complexity	<i>[insert description of complexity]</i>			
4. Methods/Technology	<i>[insert specific aspects of the methods/technology]</i>			

Similar Contract No. <i>[insert number] of [insert number of similar contracts required]</i>	Information
	<i>involved in the contract]</i>
5. Construction rate for key activities	<i>[insert construction rate]</i>
6. Other Characteristics	<i>[insert other characteristics as described in Section VII, Scope of Employer's Requirements]</i>
Employer's Name:	<i>[insert full name]</i>
Address:	<i>[indicate street / number / town or city / country]</i>
Telephone/fax number	<i>[insert telephone/fax numbers, including country and city area codes]</i>
E-mail:	<i>[insert e-mail address, if available]</i>

* Refer to ITA 14 for date and source of exchange rate.

Form EXP - 4.2(b)

Specific Experience in Managing ES aspects

[The following table shall be filled in for contracts performed by the Applicant, and each member of a Joint Venture]

Applicant's Name: _____

Date: _____

Applicant's JV Member Name: _____

ISD No. and title: _____

Page _____ of _____ pages

1. Key Requirement no 1 in accordance with 4.2 (b): _____

Contract Identification				
Award date				
Completion date				
Role in Contract	Prime Contractor <input type="checkbox"/>	Member in JV <input type="checkbox"/>	Management Contractor <input type="checkbox"/>	Subcontractor <input type="checkbox"/>
Total Contract Amount			US\$	
Details of relevant experience				

2. Key Requirement no 2 in accordance with 4.2 (b): _____

3. Key Requirement no 3 in accordance with 4.2 (b): _____

...

Table 2-PM
Contract / Project Management Capability

Criteria	Comment
<p>Description of project management system/s and how they will be applied (including status of accreditation with recognized international standards applicable to the industry)</p> <ul style="list-style-type: none"> • Document Control • Planning/Scheduling Tools • Project Financial Systems (cost tracking) • Accreditation with Institutions • 	
<p>Risk Assessments & Mitigation (RAM)</p> <ul style="list-style-type: none"> • Project related RAM tools & templates • RAM systems management during construction • company policies relating to RAM 	
<p>Work, Health, and Safety (WHS)</p> <ul style="list-style-type: none"> • WHS related accreditation • Project WHS related systems, tools & procedures • WHS in Construction Monitoring 	
<p>Environmental and Social management practice</p> <ul style="list-style-type: none"> • E&S related accreditation • Project related E&S systems & tools & procedures • E&S monitoring during construction 	
<p>Use of value Engineering, innovation, and continuous improvement.</p> <ul style="list-style-type: none"> • Technology Selection Process • Design optimization process • Value engineering during Construction processes 	

Table 2-ER
Understanding of the Employer's Requirement

Criteria	Comment
Understanding of the Employer's Requirements through an outline of the following:	
Approach to the contract, as a whole	
Approach to Environmental and Social (ES) requirements,	
Approach to SEAH, CHEAH, modern slavery risks.	
Approach to Local Content and Industry Participation (LCIP)	
Program of the main design and works activities	
Key impacts and risks (including those of an ES nature).	

Section V – Not Used

Section VI - Fraud and Corruption

(Text in this Section VI shall not be modified)

1. Purpose

1.1 This annex applies with respect to procurement under projects financed through the Australian Infrastructure Financing Facility for the Pacific, including through grants from AIFFP and loans from EFA.

1.2 The Applicant should also refer to:

- (i) the DFAT Fraud Control Toolkit for funding recipients. Version 1.3, February 2019 which can be found here: <https://www.dfat.gov.au/sites/default/files/fraud-control-toolkit-for-funding-recipients.pdf>; and
- (ii) the OECD Guidelines for Multinational Enterprises which set out best practice principles and standards for responsible business conduct.

2. Defined Terms

In this section, the following terms have the meanings set out below:

- (i) “**corrupt activity**” means any Corrupt Practice or Fraud which has been:
 - (1) found by any court in any local or foreign jurisdiction to render a matter illegal, void, voidable or unenforceable under its governing law;
 - (2) admitted to by the person initiating or engaging in that activity to have taken place;
 - (3) found as part of any publicly-available arbitral award in any local or foreign jurisdiction to constitute an offence under any applicable law;
 - (4) found by any court in any local or foreign jurisdiction to constitute an offence under any applicable law (including within Australia, under the Criminal Code Act 1995 (Cth) and any equivalent state based law); or
 - (5) the subject of equivalent measures in relation to contravening any applicable law.
- (ii) “**Corrupt Practice**” is any activity which would in the ordinary course of business be understood to be corrupt, wrongful, dishonest or a criminal act or omission, or to constitute bribery (including without limitation, the offering, giving, receiving or soliciting, directly or indirectly, of anything of value to influence the actions of another party to obtain or retain business, or a business or personal advantage [(whether or not for oneself or a third party)). For the avoidance of doubt, this includes all forms of bribery (including any bribery of public officials or any other person).
- (iii) “**Debarment List**” means any publicly-available debarment list of any one of the following institutions: African Development Bank, the Asian Development Bank, the

European Bank for Reconstruction and Development, the Inter-American Development Bank and the World Bank Group.

- (iv) “**Fraud**” is means dishonestly obtaining benefit or causing a loss, by deception or other means, and includes incidents of attempted, alleged, suspected or detected fraud.
- (v) “**equivalent measures**” includes resolutions of fraud, bribery or corrupt practice violations using deferred prosecution agreements or non-prosecution agreements, as well as those resulting from any formal admission or voluntary self-reporting.

3. Requirements

3.1 AIFFP requires that Financing Recipients (including beneficiaries of financing under the AIFFP); bidders (applicants/proposers), consultants, contractors and suppliers; any sub-contractors, sub-consultants, service providers or suppliers; any agents (whether declared or not); and any of their personnel, observe the highest standard of ethics during the procurement process, selection and contract execution of contracts financed under the AIFFP, and refrain from Corrupt Practices and Fraud.

3.2 To this end:

- (a) AIFFP will reject a proposal for award if an AIFFP Financier determines that the firm or individual recommended for award of the Contract, any of its personnel, or its agents, or its sub-consultants, sub-contractors, service providers, suppliers and/ or their employees, has, directly or indirectly, engaged in Corrupt Practices or Fraud in competing for the contract in question;
- (b) In addition to the legal remedies of the AIFFP Financier set out in the relevant legal agreement, AIFFP Financier may take other appropriate actions, including declaring misprocurement, if the AIFFP Financier determines at any time that representatives of the Financing Recipient or of a recipient of any part of the proceeds of the loan or grant engaged in Corrupt Practices or Fraud during the procurement process, selection and/or execution of the contract in question, without the Financing Recipient having taken timely and appropriate action satisfactory to the AIFFP Financier to address such practices when they occur, including by failing to inform the AIFFP Financier in a timely manner at the time they knew of the practices;
- (c) AIFFP may recognize a firm or individual that has, directly or indirectly, engaged in Corrupt Practices or Fraud in competing for the Contract as ineligible, for a period determined by AIFFP (i) to be awarded or otherwise benefit from a contract financed under the AIFFP Program, financially or in any other manner; (ii) to be a nominated sub-contractor, consultant, manufacturer or supplier, or service provider of an otherwise eligible firm being awarded contract financed under the AIFFP Program; and (iii) to receive the proceeds of any loan made by an AIFFP Financier or otherwise to participate further in the preparation or implementation of any project financed by an AIFFP Financier;

- (d) AIFFP will reject a proposal for award and will recognize a firm or individuals as ineligible to be awarded the Contract or a contract funded under the AIFFP if the Applicant, any party comprising the Applicant, any of its or any subcontractor who has a direct contract with the Applicant:
 - (1) is at any time during the procurement, on a Debarment List;
 - (2) is currently under charge in any court, formally under investigation by public prosecutors for Corrupt Activity, or involved in a process which might result in such party becoming subject to Equivalent Measures for Corrupt Activity; or
 - (3) has engaged in Corrupt Activity within the past 5 years.
- (e) AIFFP requires that clauses be included in bidding/request for proposals documents and in contracts financed by an AIFFP Financier requiring bidders (applicants/proposers), consultants, contractors, and suppliers, and their sub-contractors, sub-consultants, service providers, suppliers, agents personnel:
 - (1) to not engage in Corrupt Practices or Fraud;
 - (2) to institute, maintain and comply in all material respects with adequate internal procedures and controls, in compliance with AIFFP requirements and applicable laws of the Recipient country, preventing the participation in Fraud or other Corrupt Practices;
 - (3) to permit the AIFFP Financier to inspect¹ all accounts, records and other documents relating to the procurement process, selection and/or contract execution, and to have them audited by auditors appointed by the AIFFP Financier.
- (f) to record all operational activities in relation to the Contract, including to enable the prevention, detection and investigation of Corrupt Practices or Fraud.

¹ Inspections in this context usually are investigative (i.e., forensic) in nature. They involve fact-finding activities undertaken by the AIFFP Financier or persons appointed by the AIFFP Financier to address specific matters related to investigations/audits, such as evaluating the veracity of an allegation of possible Fraud and Corruption, through the appropriate mechanisms. Such activity includes but is not limited to: accessing and examining a firm's or individual's financial records and information, and making copies thereof as relevant; accessing and examining any other documents, data and information (whether in hard copy or electronic format) deemed relevant for the investigation/audit, and making copies thereof as relevant; interviewing staff and other relevant individuals; performing physical inspections and site visits; and obtaining third party verification of information.

PART 2 – Employer's Requirements

Section VII - Scope of Employer’s Requirements

Contents

1. Description of the Works (Design and Build)	Error! Bookmark not defined.
2. Implementation Period.....	80
3. Site and Other Data	811
4. Environmental and Social (ES) Requirement.....	845
5. Local Content and Industry Participation.....	98

1. Description of the Works (Design and Build)

General Description:

1. The refurbishment of the Ramu 1 Hydropower station is planned to improve the reliability of the plant. Units 1 to 3 have been in service for 46 years and Units 4 and 5 for 32 years.
2. The power station is situated underground. Access is via a vertical shaft from the surface building using a man lift and separate goods winch.
3. The waterways lead from a weir across the river, through an intake structure to a vertical shaft and then horizontal pressure tunnel to the power station. A tailrace tunnel returns the water to the river.
4. As units 1 to 3 have been in service longer, some additional work is required compared to unit 4 and 5.

Employer's Requirements:

5. The key aspects of the work for the power station control building are:
 - (i) Turbines - 5 x 15 MW with a rated net head of 182 m - Replacement of all non-embedded parts and refurbishment or replacement of the turbine shaft and spiral casing. Replacement of damaged liner of draft tube to the elbow. An investigation by CFD of the inlet/outlet manifolds and units is required to investigate flow instabilities.
 - (ii) Main Inlet valve – spherical valve 1.05 m diameter – refurbishment including replacement of seals, seats and seal controls.
 - (iii) Draft tube gates – flap gate – refurbish embedded parts and replacement of flaps and locking mechanism
 - (iv) Refurbishment or replacement of units 1 to 3 generator – refurbishment would include rewinding of stator and replacement of poles, replacement of stator core if required, replacement of stator air coolers, bearings complete, refurbishing or replacement of other components or provision of a completely new generator. For units 4 and 5, refurbishment of the existing units. Subject to further testing, rewinding of stators and replacement of poles not anticipated. Bearings to be fully refurbished with oil leaks to be addressed. Other components to be refurbished or replaced.
 - (v) Replacement of U1 to 3 generator circuit breakers (66 kV), refurbishment of U4 and 5 generator circuit breakers (132 kV).
 - (vi) Replacement of U1 to 3 main transformers (11/66 kV, 17 MVA, ONAN/ONAF), refurbishment of U4 and 5 (11/132 kV, 18 MVA, ONAN/ONAF).
 - (vii) Upgrading of station power supply systems (MV, LV, DC, UPS) including replacement of cables
 - (viii) Replacement of obsolete instrumentation and integrating new systems into the control system
 - (ix) Upgrading of communications and security systems
 - (x) Refurbishment/replacement of other systems as required.
 - (xi) Overall safety and fire risk assessment to determine any required actions
 - (xii) Governors, excitation and control systems have been previously replaced and are not expected to require any significant work.

6. Refurbishment of equipment at the intake weir including:
 - (i) Refurbishment of two 12.2 x 12.2 m spillway gates and refurbishment or replacement of wire rope winches
 - (ii) Refurbishment of spillway stoplogs and replacement of monorail hoist
 - (iii) Refurbishment or replacement of intake gate and wire rope hoist
 - (iv) Replacement of intake trashracks and associated monorail hoist
 - (v) Refurbishment of intake stoplogs
 - (vi) Refurbishment or replacement of power shaft inspection winch

2. Implementation Period

The project shall be implemented within a period of 3.5 years. The implementation period starts from the effective date as specified in the contract.

3. Site and Other Data

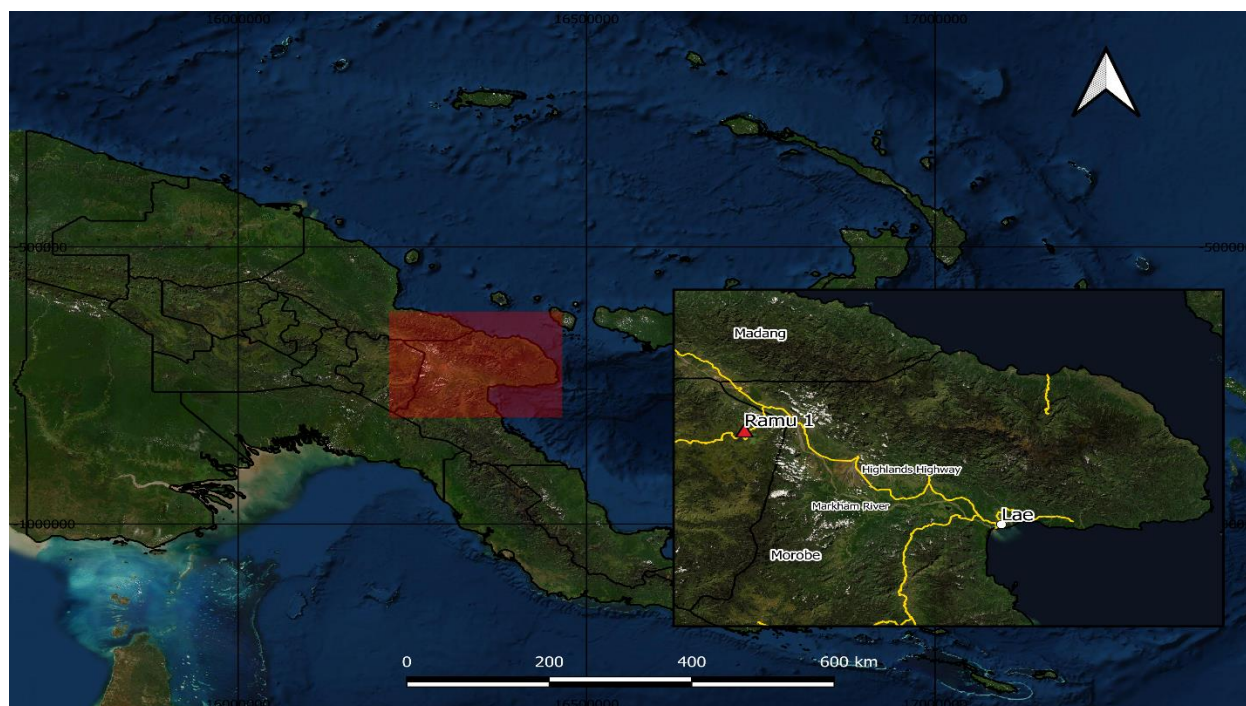


Figure 1. Map of PNG

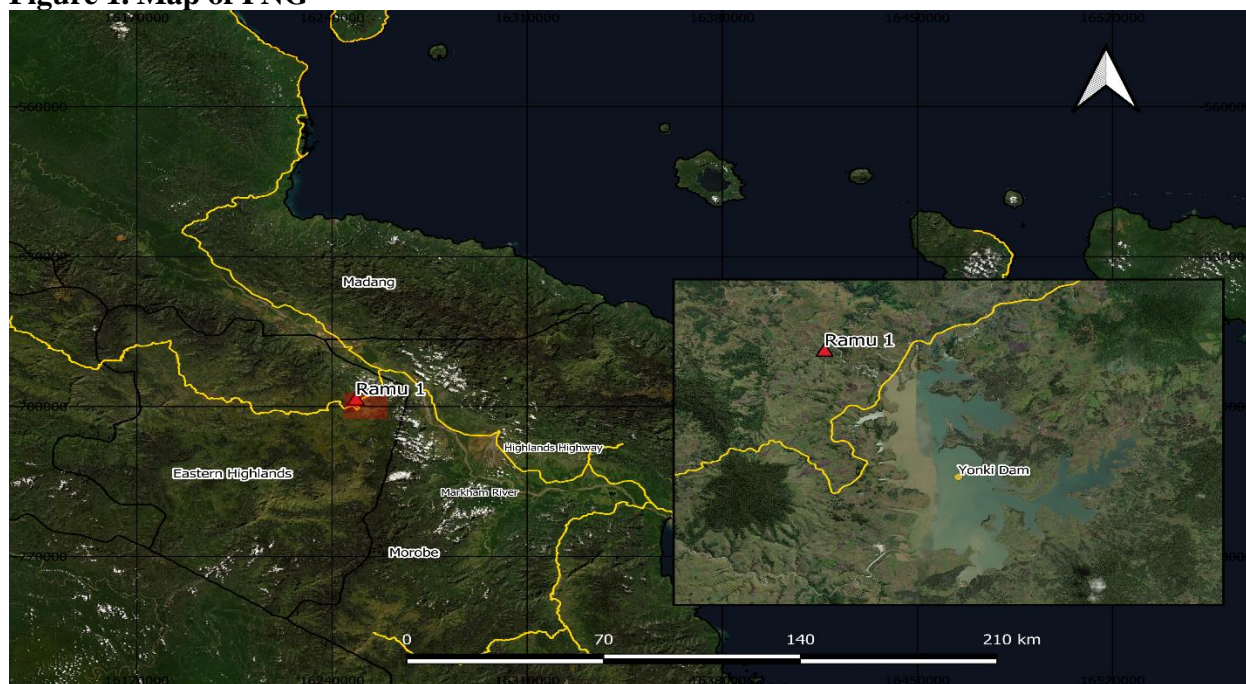
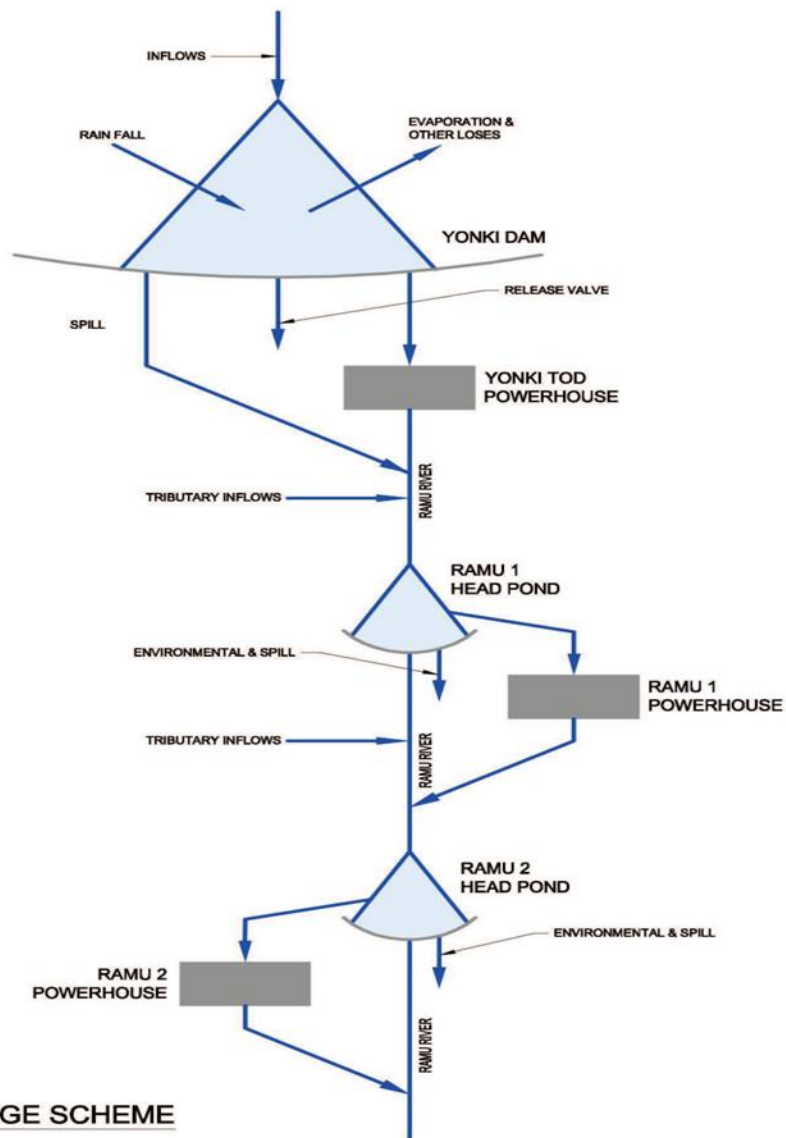


Figure 2. Map of Ramu 1 hydro Power Plant



Name of the project	Ramu 1 HPS Major Rehabilitation Work
District	Lae, PNG
Name of the River	Ramu River
Types of Schemes	Run-of-River
Project Road	Existing and Available
Ramu 1 Weir Reservoir	
Maximum Operating Level (MOL)	1’193.00 masl
Full Supply Level (FSL)	1’192.40 masl
Minimum Operating Level (MOL)	1’184.80 masl
Weir	
Type of Dam	Concrete Weir
Crest Elevation	RL 1’203.70 masl
Length of Structure	82 m (approx.)
Ramu 1 Spillway	
Type	Gated main spillway with auxiliary spillways
Design Flood	
Spillway Crest Elevation	EL 1’193.00 masl
Spillway Gate Size	12.20 m × 12.20 m
Auxiliary Crest Width	Left: 24.00 m (approx.) Right: 21.30 m (approx.)
Main Intake	
Type	Bellmouth
Invert Level	1’478.50 masl
Intake Tunnel	1 no
Intake gates	1 no. xx m wide x 3.65 m high
Stoplogs	1.98 m wide x 5.33 m high
Ramu 1 Pressure shaft	
Shape	Circular
Type	Concrete lined
Inclination	Vertical
Height	202.00 m
Diameter	3.05 m
Ramu 1 Pressure Tunnel	
Shape	Circular
Type	Steel lined
Length	XX m
Diameter	2.51 m
Lining	Steel lined
Power Station	
Type	Underground
Size (L x W x H)	110.90 m x 16.00 m x 37.50 m
Tailwater Level (turbine Pit)	867.60 masl

Units	
Type	Vertical Axis Francis
No of Units	5
Installed capacity	3 x 15.00 MW and 2 x 17.20 MW
Rated Net Head	182.00 m
Design Discharge	9.80 m ³ /sec
Tailrace Tunnel	
Shape	Inverted D shaped
Type	Partially concrete lined
Length	2'232 m
Size (W x H)	Lined: 3.40 m x 3.40 m Unlined: 3.92 m x 3.92 m
Tailwater Level at outlet	856.30 masl
Transformer Yard	
Type	Main Transformers above ground
Size	40 m x 7.5 m (Total MT bay area – approx.)

Table showing Key Features of Ramu 1 Hydro Power Plant

N.B:

A couple of information and measurements are missing from the data table. This is due to unavailability of data and the bidder is obliged to obtain those missing information and data at site during the site visit on the next stage of this tender.

4. Environmental and Social (ES) Requirement

Project Activities	Potential Environmental Impact	Proposed Mitigation Measures	Responsible Agency for Implementation	Monitoring	Mitigation Cost
Construction and Implementation Phase					
Planning for construction environmental management plan (CEMP)	ESMP not effectively implemented	<ul style="list-style-type: none"> ▪ Prior to mobilization the Contractor shall prepare and submit CEMP for approval. The CEMP will include any corrective measures relating to the existing environmental and social risks associated with wastes exiting at the facilities prior to the new project. ▪ CEMP to provide details on how contractor plans to implement the 	PMU Contractor	As needed before start of site works. Monthly during construction.	Cost included in contractor fees

		construction mitigation measures specified in this ESMP.			
Site preparation, clearing of vegetation and loss of biodiversity	Clearing vegetation.	<ul style="list-style-type: none"> ▪ In terms of works to be carried outside of the Power Station, a detail plan should be included in the CEMP showing how the works shall be carried out with minimum loss of vegetation and its habitat. ▪ The contractor's staff and labour will be directed to minimise the clearing of vegetation outside the immediate work area requirements. ▪ Clearing of vegetation will be limited to the area that is required 	PMU Contractor	As needed before start of site works. Monthly during construction.	Cost included in contractor fees

		only for the works and not beyond.			
Encroachment and interference with adjoining landowners/private property	<p>Loss of use of land due to construction activities.</p> <p>Damage to assets and loss of production.</p>	<ul style="list-style-type: none"> ▪ Use existing RoW/access roads wherever possible. ▪ Work with adjacent landowners to minimise land encroachment or disturbance and clearing. ▪ Compensation for temporary damages to any garden and/or fruit trees losses where unavoidable. 	PMU Contractor	<p>As needed before start of site works.</p> <p>Monthly during construction.</p>	Cost included in contractor fees
Hydrology, drainage, and erosion	<p>Temporary disruptions to local water courses and drainage systems.</p> <p>Soil erosion, siltation of downstream creeks and streams, including</p>	<ul style="list-style-type: none"> ▪ Select pole locations avoiding water bodies and drainage lines. ▪ Limit site clearing/earthworks and removal of vegetation during site development 	PMU Contractor	<p>As needed before start of site works.</p> <p>Monthly during construction.</p>	Cost included in contractor fees

	drinking water sources.	<p>to protect water courses from erosion and siltation.</p> <ul style="list-style-type: none"> ▪ Use appropriate slope stabilization, cut-off drains, bunding, and other drainage management measures as necessary. ▪ Regeneration of vegetation to stabilize works areas on completion (where applicable). 			
Noise, air, and water pollution due to construction work	<p>Noise and vibration</p> <p>Dust/air pollution</p>	<ul style="list-style-type: none"> ▪ Schedule activities during daytime working hours. Noise levels due to construction activities at sensitive receptors shall not exceed 50 dB(A) during daytime hours 	PMU Contractor	<p>As needed before start of site works.</p> <p>Monthly during construction.</p>	Cost included in contractor fees

		<p>(0700-2300 hrs) or 40 dB(A) during night-time hours (2300-0700 hrs).</p> <ul style="list-style-type: none"> ▪ Vehicles and construction equipment shall comply with statutory emission standards. ▪ Water to be sprayed on unpaved roads to suppress dust in the vicinity of communities through which transportation of construction materials passes. Vehicles delivering construction materials shall be covered. 			
Interference with utilities and access way during construction	<p>Traffic obstruction and disruption of community access to amenities and services.</p> <p>Interference with</p>	<ul style="list-style-type: none"> ▪ Ensure existing access to public and private amenities are maintained throughout 	PMU Contractor	<p>As needed before start of site works.</p> <p>Monthly during construction.</p>	Cost included in contractor fees

	<p>road crossings and narrow roads while working on rehabilitation and new lines.</p> <p>Safety risks to community and community activities.</p>	<p>Project implementation period</p> <ul style="list-style-type: none">▪ Danger and clearly visible warning signs shall be displayed at designated sites.▪ Implement temporary public access and traffic management plan if required.▪ Provide fences or barricades as appropriate. Display sufficiently clear warning signs and assign security personnel (if necessary) to prevent accidents at all times.▪ Contractors to strictly follow road regulations.			
--	--	---	--	--	--

Construction waste disposal	<p>Minor impacts from the disposal of construction waste.</p> <p>Waste and wastewater generation.</p>	<ul style="list-style-type: none"> ▪ Prepare and implement a waste and wastewater management plan for on-site working areas. ▪ Identify potential safe disposal sites close to the project. ▪ Solid waste to be disposed at approved/designated waste disposal facilities or locations. 	PMU Contractor	<p>As needed before start of site works.</p> <p>Monthly during construction.</p>	
Storage of chemicals and materials	<p>Contamination of receptors (land, water, air)</p> <p>Unsafe handling, use, waste disposal of hazardous or toxic chemicals/substances</p>	<ul style="list-style-type: none"> ▪ Fuel and other hazardous materials securely stored above high flood level in hard standing area undercover surrounded by containment bunds. ▪ Safety inductions on 	PMU Contractor	<p>As needed before start of site works.</p> <p>Monthly during construction.</p>	Cost included in contractor fees

		<p>hazardous/toxic substances to employees.</p> <ul style="list-style-type: none"> ▪ Equipment/facilities specifications shall follow international standards and best practices to avoid impact upon humans. ▪ Regular servicing of machinery to prevent petrochemical leaks. 			
Occupational health, safety and public security	<p>Work health and safety. Workers are subject to unsafe working conditions and exposed to work related hazards, injuries, diseases and sickness etc.</p> <p>Community health and safety. Injury and diseases and sickness of members of the</p>	<ul style="list-style-type: none"> ▪ Contractor to prepare and implement an Occupational Health and Safety (OHS) Management Plan prior to commencement of construction. ▪ Contractor to arrange for health and safety 	PMU Contractor	<p>As needed before start of site works.</p> <p>Monthly during construction.</p>	Cost included in contractor fees

	public.	<p>training sessions for workers.</p> <ul style="list-style-type: none">▪ Observance and compliance with relevant safety measures required by law and best engineering practices.▪ Provide access to sanitary facilities and wash areas, including safe drinking water and garbage bins etc.▪ Provide workers with PPE - hard hat, safety shoes and belts etc. at site for protection.▪ Provide communication devices to designated workers.			
--	---------	---	--	--	--

Work camp construction and operation (if required)	<p>Provision of facilities for construction workers.</p> <p>The Contract for AIFFP will be controlled by a Head Contractor who will subcontract work to local contractors (several) so most of the work will be done by local Contractors from their own establishments/de pots.</p> <p>The Head Contractor he will need a camp like establishment for materials supply and control to the local contractors and all local contractors will report to the head contractor.</p>	<ul style="list-style-type: none"> ▪ Water and sanitary facilities (portable toilets) shall be provided for employees to ensure that the operation and location of work camps does not adversely affect the surrounding environment and residential area or community. ▪ The location of work camps will be identified in consultation with local authorities and communities, and subject to the approval of local authorities. If possible, camps shall not be located near settlements or near drinking water sources. 	<p>PMU Contractor</p>	<p>As needed before start of site works.</p> <p>Monthly during construction.</p>	<p>Cost included in contractor fees</p>
---	--	---	-----------------------	--	---

		<ul style="list-style-type: none"> ▪ The Contractor will organise and maintain a waste collection, transport and disposal system. ▪ At the conclusion of the project, all debris and waste shall be removed and latrine sites to be backfilled and restored to pre-project condition upon vacation of the sites. 			
Children, vulnerable and disadvantaged groups	<p>Impacts on vulnerable children and disadvantaged groups (sexual exploitation, abuse, harassment etc.).</p> <p>Children or vulnerable disadvantaged adults may be sexually exploited,</p>	<ul style="list-style-type: none"> ▪ Application of DFAT requirements and measures to safeguard the vulnerable groups and children. ▪ Define internal regulations and codes of conduct, which all personnel are 	PMU Contractor	<p>As needed before start of site works.</p> <p>Monthly during construction.</p>	Cost included in contractor fees

	abused or harassed by workers or personnel.	<p>aware of and sign up to, that emphasise, among other things, respect for customs and practices and the prohibition of inappropriate relations with the local people, women and children.</p> <ul style="list-style-type: none">▪ Implement a clear complaint reporting process.▪ Screening of personnel specifically working with children and vulnerable groups.▪ Incorporate provisions for the protection of children, vulnerable and disadvantaged			
--	---	---	--	--	--

		groups in the Gender Action Plan.			
--	--	---	--	--	--

5. Local Content and Industry Participation

A key objective of this procurement package is to build capacity and capability of PNG local industry to increase the extent of local procurement in future stages.

An essential feature of the Local Content and Participation Plan is for Managing Contractor to involve the local industry (amongst others) by specifying the minimum percentage of the value of the Works that will be subcontracted to Local contractors in the performance of the Contract. During the bidding process, the Contractor will be asked to prepare a Local Content and Industry Participation plan, as part of their bid, thus Contractors are encouraged to reach out to the local contractor industry in order to prepare for this.

The Contractor's Local Content and Participation Plan shall encompass, as a minimum:

- the type and number of full-time roles expected to be filled by Local contractors, consultants or labour.
- Determine the type of induction training and skills development to be provided to local Subcontractors and members of the Contractor’s workforce, providing details of training and skills development including:
 - apprenticeships,
 - technical, construction management and procurement skills development,
 - career advancement opportunities.
- Describe how the Contractor will identify local products, capabilities, and resources, including:
 - Engagement with local industry about opportunities
 - Policies and procedures to encourage local industry participation
 - Contracting and fair remuneration of local businesses and people
 - Details of any workplace training and skill development opportunities for local industry, local employees, or community
 - Local investment and secondary economic benefits which arise from the Contractor’s presence in country
 - Actions to increase women’s participation
 - Actions to increase participation of people with disabilities.