



STANDARD OPERATING  
PROCEDURE AND TOOLKIT  
**FOR THE PROCUREMENT  
OF SUSTAINABLE  
INFRASTRUCTURE**

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<b>ALB</b>	Abnormally Low Bid
<b>BIM</b>	Building Information Modelling
<b>Contracting Authority</b>	For the purpose of the SOP, the term "Contracting Authority" is also called an employer, client, final beneficiary. This entity is responsible for planning and implementation of a procurement process.
<b>CRVA</b>	Climate Risk Vulnerability Assessment
<b>EFCA</b>	European Federation of Engineering Consultancy Associations
<b>EIC</b>	European International Contractors
<b>EMP</b>	Environmental Management Plan
<b>EOI</b>	Expression of Interest
<b>E&amp;S</b>	Environmental and Social
<b>ESIA</b>	Environmental and Social Impact Assessment
<b>ESMS</b>	Environmental and Social Management System
<b>GHG</b>	Greenhouse Gas
<b>GIS</b>	Geographic Information System
<b>H&amp;S</b>	Health and Safety
<b>LRAP</b>	Livelihood Restoration Action Plan
<b>MDBs</b>	Multilateral Development Banks
<b>MEAT</b>	Most Economically Advantageous Tender
<b>NbS</b>	Nature-based solutions
<b>IFC</b>	International Finance Corporation
<b>IFIs</b>	International Financial Institutions
<b>ISO</b>	International Organisation for Standardisation
<b>MCC</b>	U.S. Millennium Challenge Corporation
<b>OHS</b>	Occupational Health and Safety
<b>PMI</b>	Project Management Institute
<b>PMP</b>	Project Procurement Management
<b>QCBS</b>	Quality Cost-Based Selection
<b>QTS</b>	Quality, Technical and Sustainability criteria
<b>RAP</b>	Resettlement Action Plan
<b>RfP</b>	Request for Proposal
<b>SBDs</b>	Standard Bidding Documents
<b>SDGs</b>	Sustainable Development Goals
<b>SEA</b>	Sexual Exploitation and Abuse
<b>SEP</b>	Stakeholder Engagement Plan
<b>SH</b>	Sexual Harassment
<b>SMART</b>	Specific, Measurable, Achievable, Relevant and Time-bound
<b>SOP</b>	Standard Operating Procedure
<b>SPD</b>	Standard Procurement Documents
<b>SPQ</b>	Standard Prequalification Document
<b>TCO</b>	Total Cost of Ownership
<b>TOR</b>	Terms of Reference

**Recommendations****Warnings****Purpose****General Information**

With the adoption of the Addis Ababa Action Agenda, the 2030 Agenda for the Sustainable Development Goals (SDGs) and the Paris Climate Agreement at COP21 back in the year 2015, the international development community has placed great emphasis on the environmental and social dimensions of development in addition to the economic aspect.

Since October 2018, the World Bank applies its Environmental and Social Framework to the projects it finances which enables the Bank and its Borrowers to better assess and manage environmental and social risks and to improve development outcomes. The European Investment Bank (EIB) has been applying its new Environmental and Social Sustainability Framework since March 2022 to all new projects. These two standards were designed to support the Banks and their customers in making important advances in critical areas such as Labour and Working Conditions, including Occupational Health & Safety, Resource Efficiency and Pollution Prevention as well as Climate Change mitigation and Biodiversity Conservation. The Environmental and Social Frameworks of the World Bank and the EIB were inspired by the International Finance Corporation (IFC) Performance Standards published in January 2012 to give IFC clients guidance on how to avoid, mitigate, and manage environmental and social risks and impacts as a sustainable way of doing business.

Whilst these examples show that the three pillars of sustainability – economy, ecology, and social responsibility – are well anchored in the policy documents of the World Bank Group and the EIB, the ecological and social aspects of public procurement are – with few exceptions such as the World Bank's Procurement Guidance on Evaluating Bids and Proposals (April 2023) – not yet fully reflected in their respective Procurement Guidelines and Standard Bidding Documents.

Against this background, EIC and EFCA welcome the recent announcement of the World Bank to require as of 1st September 2023 the use of Rated Criteria as the default approach for most international procurements in order to increase Borrowers' flexibility to procure works, goods and non-consulting services best suited to their specific situation and provide a more fit-for-purpose approach.

Bearing in mind that the World Bank will implement its new approach in close collaboration with client countries, international institutions, and the private sector, EIC and EFCA have developed a step-by-step guide which is intended to support the procurement staff of the Multilateral and Bilateral Development Banks, their Borrowers and Public Promoters and the individual Implementing Agencies and Contracting Authorities to incorporate quality and sustainability criteria in their large infrastructure tenders both for works and consulting services and to select the Most Economically Advantageous Tender (MEAT) based on a combination of quality, sustainability and cost.

We look forward to discussing our proposition with Multilateral Development Banks (MDBs), bilateral development banks, borrowers and implementing agencies.

Benoît Chauvin  
EIC President

Ines Ferguson  
EFCA President

# 1 Introduction

## 1.1 Objective of the SOP

The emergency of sustainable public procurement, a strategic approach that promotes integration of the pillars of sustainable development (economic and social development, environmental protection, and quality institutional governance), has been highlighted by the latest reports by the IPCC<sup>1</sup>. These reports primarily concentrate on the alarming increase of destructive events linked to climate change that we were faced with during the summer of 2022.

After a thorough analysis of the bidding documents of several international financial institutions (the World Bank, the African Development Bank, the Asian Development Bank, the European Investment Bank and European Bank for Reconstruction and Development, Agence Française de Développement and Kreditanstalt für Wiederaufbau (KfW), EIC and EFCA issue this document with the aim of giving practical tools to set up sustainable procurement for both contracting authorities and development institutions.

The Standard Operating Procedure (SOP) presents the proposed system to ensure the implementation of responsible procurement, step by step, as well as the criteria that can be used to achieve sustainability. The principal target of the proposed procurement system are the works components (with design provided by the Contracting Authority) of a value of not less than €50 million.

However, the philosophy of conducting the procurement procedures as introduced in the SOP may be further extended for the Design and Build projects, where sustainability factors may be integrated into the specifications allowing a decrease in operational and maintenance costs through optimised design solutions.

## 1.2 Sustainable Procurement as Part of the Project Life Cycle

The project's sustainability has to be taken into account at each of its phases.

**Fig. 1 Life process of a Project**



<sup>1</sup> The Intergovernmental Panel on Climate Change

In the case of complex civil engineering works, the costs involved in running the infrastructure facility over its lifetime often far exceed the initial costs of construction. Since higher up-front investment can ultimately lead to lower maintenance and operation costs, there should be genuine interest of the Contracting Authorities, as well as the multilateral lenders, in procuring assets which take account of both capital costs and running and maintenance costs (Total Cost of Ownership – TCO). The preparation of the works through in-depth studies is therefore a structuring point of the sustainable approach.

### 1.3 Sustainable Public Procurement Goals

“Sustainable public procurement is a strategic approach that promotes integration of the pillars of sustainable development, i.e. economic development, social development, environmental protection, and quality institutional governance. It is a spending and investment process typically associated with public policy, although it is equally applicable to the private sector and involves a high degree of collaboration and engagement between all parties in a supply chain.”<sup>2</sup>

#### Environmental:

- Environmental resource management
- CO<sub>2</sub> reduction
- Pollution
- Waste management

#### Social:

- Local skills and employability development
- Gender equality
- Health and safety

#### Economic & institutional:

- Sustainable economic development
- Supply chain capacity development in an ethical way
- Relations with the community, etc.

### 1.4 Benefits of Sustainable Procurement

There are numerous advantages of the proposed system, to consider the long-term impact, the main ones are:

- Monitoring and managing the impact on the environment.
- Fighting global warming by reducing the carbon footprint.
- Facilitating greater acceptance of the project by the population through the positive impact on health and social conditions including aspects of gender and communities.
- Creating a positive impact on the local economy through the involvement of the local construction industry, the employment and training of locals, the purchase of locally produced materials and the use of local services.
- Reducing maintenance and running costs.
- Introducing ethical conduct at all stages of the project for all the stakeholders.

<sup>2</sup> The ADB “Sustainable Public Procurement. Guidance Notes”, December 2021

The system promotes the establishment of a new approach in procurement that ensures not only the rigorous fulfilment of the technical scope of the project but also encourages contractors to contribute to achieving long-term sustainability.

**The proposed system aims to leave behind project implementation based solely on awarding contracts to low-price bidders.**

### 1.5 The Role of the Consulting Engineer

Consulting engineers are involved in all stages of the project cycle, mainly during project preparation (due diligence, feasibility, design) but also during procurement to help define the sustainability criteria, include them in the terms of reference and assist in the tender evaluation. They also have a role in the construction phase to ensure that the selected criteria are respected. In short, their role is of utmost importance to achieve sustainability in the procurement process.

MDBs also have a major role in promoting sustainable infrastructure in low and middle-income countries and they need to cover the project preparation investment to make projects credible, comparable, and attractive to private investors.

In Europe, Global Gateway helps to leverage Europe’s development financing firepower through the “Team Europe” strategy and a common platform to promote quality infrastructure investments worldwide.

#### 1.5.1 At project preparation phase

Infrastructure projects need to respond to a green, digital and inclusive growth policy, which has to be pragmatic and adapted to the respective partner country context.

Depending on the size, geography, geology and complexity of the infrastructure project, critical sustainability information could cover:

- **Climate Mitigation:** emissions reduction / clean energy or biofuels use / energy efficiency gains
- **Climate Adaptation:** vulnerability ratios / climate risk ratios / adaptation measures / resilience solutions including NbS
- **Resource consumption:** water, energy, materials consumption / green labels
- **Waste management:** hazardous and non-hazardous waste reduction
- **Pollution prevention:** prevention and control measures
- **Recycling, reuse:** of materials, products, assets and natural resources
- **Predictive maintenance tools**
- **Dismantling and recycling or re-use**
- **Biodiversity protection and conservation:** loss or damage risks / protection and conservation measures
- **Health and Safety:** H&S manager / measures / complaints management
- **Stakeholder engagement:** consultations / communication / awareness raising events
- **Capacity building:** workshops / training / research and innovation
- **Equality, diversity and inclusion of vulnerable communities:** disaggregated data / complaints management / job creation / accessibility / supply chain monitoring

- **Resettlement:** valuation / compensation / livelihood restoration
- **Cultural heritage:** management and conservation
- **Human Rights:** due diligence / supply chain monitoring / complaints management
- **Labour conditions:** contracting / supply chain monitoring / complaints management
- **Governance:** organization / compliance / responsibility / supply chain management
- **Economy:** Lifecycle costs / adequate financial returns
- **Digitalisation and security:** use of data management platforms / new technologies / cybersecurity measures

Project data should be available from the preliminary stages to measure and monitor the quality, sustainability and impact of the project throughout the project cycle, with reliable and comparable data. Further data collection, analysis and integration is required from consultants involved in project preparation services.

Sustainability criteria and targets agreed between the development finance institution and the partner country as well as SMART indicators must be defined individually for each project; and this Toolkit helps in defining them, with a specific focus on the construction phase.



**Defining the critical sustainability criteria for project preparation requires a wider scope in the Terms of Reference for preparation services as well increased overall contract budgets to cover sustainability data collection, integration, and analysis. These elements also ensure data reliability and comparability.**

Technical criteria should be introduced in the selection and award of project preparation service contracts, awarding points to specific experience in sustainability-related data collection, analysis, and integration in planning and design, in the use of new technologies for sustainable data collection and management, and digital design. The requested team of experts should also include sustainability-related profiles.

### 1.5.2 During the procurement of works

The criteria to properly evaluate the sustainability of a works tender have been decided in the project preparation phase. The scoring method has been detailed and described in the RfP and the role of the consulting engineer will then be to evaluate independently and in a very transparent manner the most relevant tenders in line with the sustainability criteria.

In this sense, the consulting engineering industry, with extensive experience and partners in these regions, plays a major role in promoting the delivery of sustainable infrastructure.

## 2 Procurement Planning

### 2.1 Procurement Planning for Consulting Engineering Services

The procurement of studies, design, and preparation of tender documents for sustainable infrastructure should remain focused on quality, efficiency and sustainability. The need to follow QCBS restricted procedure, with a minimum quality/price ratio of 80/20, and two separate envelopes for the technical and the financial criteria is key to getting the best value for money.

For the effective delivery of sustainable infrastructure, the sustainability objectives should be defined during the project preparation. These objectives must be aligned with the priorities of the financing and could include the effective reduction of emissions, optimal use of materials, introduction of clean energy, appropriate waste management, health and safety conditions, maintenance and operations costs, or communication with stakeholders, to name just a few.

These objectives should be translated into critical sustainability data and form the basis for selection of sustainability targets for the selection of potential bidders. The contracting authority can monitor the data throughout the infrastructure's lifespan so that their objectives are properly monitored throughout the project cycle.

Initially, and depending on the project size, complexity and location, the sustainability data can be general and basic, with the possibility of being further developed in the final design, when additional data has been collected.

Depending on the design models used, the data can be stored in a separate data base (Excel, Access) or incorporated into the models (GIS, BIM), which is the most convenient way to follow-up on sustainability data.



**In the prequalification of sustainable infrastructure consulting services (Request for EOI), the introduction of technical criteria is recommended, with points given for specific experience in:**

- **Sustainability-related studies, analyses, and plans in project preparation (ESIA, CRVA, RAP, SEP, H&S etc.).**
- **Sustainability-related data collection, analysis, and integration in planning and design.**
- **Use of new technologies for sustainable data collection and management, digital design.**
- **Number of staff in sustainability-related areas of expertise as well as in data collection and analysis.**



**In the selection of sustainable infrastructure project preparation services (Proposal TOR), the following are recommended:**

- **Include specific scope of works for sustainability studies, analyses, and planning.**
- **Include additional scope of works for sustainability data collection, integration, and analysis.**
- **Include profiles in the team related to the sustainability objectives, namely emissions calculation and reduction, climate vulnerability, adaptation, communities' wellbeing, gender, health and safety, biodiversity, and institutional development, preferably in-house.**
- **Include additional profiles related to data collection and management, digital design, preferably in-house.**

To deliver sustainable infrastructure, the overall contract budgets for project preparation have to be increased to cover the sustainability profiles and the data collection, analysis and integration services. MDBs have a key role to play in covering this extra cost for governments and in making projects truly sustainable, credible and comparable.

## 2.2 Procurement Planning for Large-Scale Civil Works

Developing the Procurement Strategy is an important step in project planning which shall be taken by a Contracting Authority with the support of an experienced consultant following a detailed analysis of the different available options and their benefits and risks.

For the large-scale works under design provided by the Contracting Authority, the single-stage two envelopes bidding procedure is recommended as the most relevant for ensuring transparency, quality, and value for money. The general flow chart for this procurement route is shown in Figure 2.

The flow chart also presents the selection process for the Most Economically Advantageous Tender (MEAT), which incorporates the qualification, technical, quality and sustainability criteria into the procurement process, in addition to the price.

The recommended procedure resembles the 'Restricted Procedure' in the EU Public Procurement Directives and involves four key steps:

- Step 1:** Prequalification with selection of the suitably qualified and experienced contractors who will be invited to submit bids.
- Step 2:** Evaluation of the Technical bids and determination of their compliance with Quality, Technical and Sustainability criteria.
- Step 3:** Evaluation of the Financial bids.
- Step 4:** Determination of the MEAT based on the pre-defined formula of a combination of the Technical and Financial scores.

The selection on the applicable technical-price ratio as part of the MEAT shall be clearly stated in an invitation to the bids and bidding documents. This approach will encourage prospective Bidders to participate.

A higher quality/price ratio, i.e. 90/10 to 60/40, allows the Contracting Authority to place more weight on quality rather than on price to determine the bid offering the optimum value for money. This is the bid with the highest combined Technical and Price Score among the responsive bids.

A lower quality/price ratio, i.e. 50/50 to 10/90, allows the Contracting Authority to continue placing most of the weight on price rather than on quality.



**It is strongly recommended to apply the MEAT rather than the lowest-price evaluation method in the procurement of infrastructure projects. It must be based on the combination of the technical and price ratios that correlate to the project's complexity.**

**For large infrastructure projects, the recommended minimum weight of the QTS part should be no less than 30% and increased to at least 50% for complex projects.**

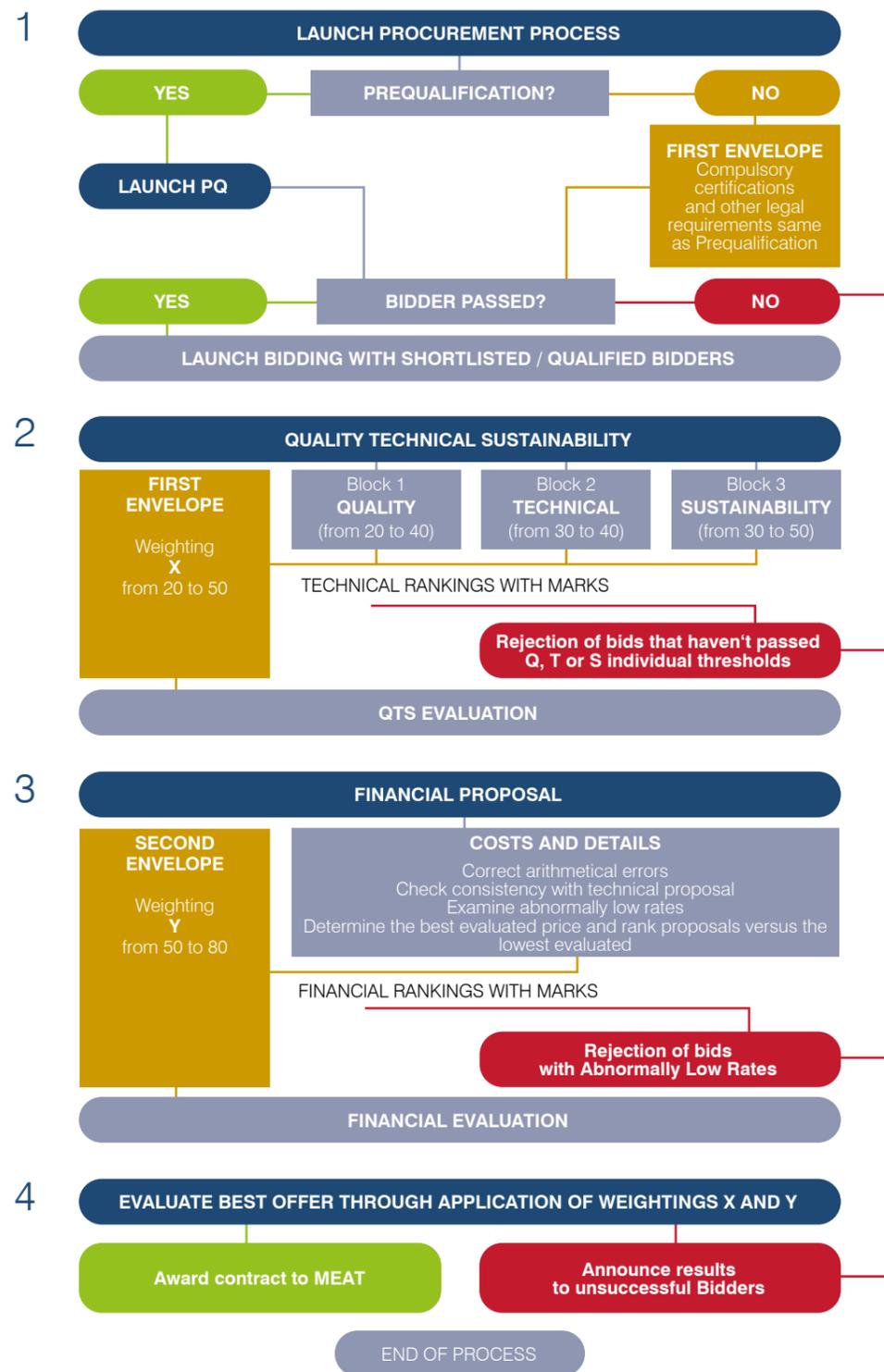


**Attention should be given to the correct selection of the price-technical ratio that has to comply with the ultimate purpose of the procured contract. The experience of applying MEAT in Europe shows that quality ratios below 40% will mean that price remains the most important element in the tender evaluation.**



**To be fully transparent, the procurement process must be conducted confidentially. Probity in the assessment of the scoring, ranking and evaluation of the financial proposal could be audited before the award to make sure that the objectives of the contracting authority are fully met.**

Fig. 2 MEAT Bidding Procedure



### 2.3 Evaluation Methods and Scoring Mechanism

In this SOP, the following two evaluation methods are recommended for use for the purpose of evaluating each of the proposed criteria:

**Pass/Fail** approach for evaluation of compliance with “non-measurable” criteria (for example, submission of a required certificate).

**Weighted Scoring** approach for evaluation of compliance with “measurable” criteria (for example, evaluation of the method statements).

The scoring mechanism shown in Table 1 below presents the suggested approach to the evaluation of a scored criteria or sub-criteria by the Tender Committee. Its purpose is not only to give a tool for evaluation but to encourage the Bidders to offer solutions above the basic (minimum) requirements defined in the bidding documents.

Tab. 1 Scoring Mechanism

Score Level	Applicable Ratio	Descriptions
<b>Excellent submission</b>	100%	<b>SIGNIFICANTLY EXCEEDS THE REQUIREMENTS</b> The bid proposal is comprehensive and demonstrates that the Bidder fully understands the requirements. The bid identifies factors that could offer potential added value. The Bidder has supplied clear, detailed information and the evidence is unequivocal. The evaluation team is fully satisfied about the Bidder’s ability to meet the detailed criteria.
<b>Good submission</b>	85%	<b>MARGINALLY EXCEEDS THE REQUIREMENTS</b> The Bidder has demonstrated a good and above-average understanding of the requirements. Good supporting evidence provided.
<b>Acceptable submission</b>	70%	<b>SATISFIES THE REQUIREMENTS</b> The Bidder has demonstrated a satisfactory understanding of the requirements. The evidence is clear and convincing with minor reservation(s) in one key area. Sufficient supporting evidence provided.
<b>Some reservations</b>	50%	<b>MOSTLY MEETS THE REQUIREMENT BUT FAILS IN PARTS</b> The submission does not fully meet the requirements. The Bidder has shown a reasonable understanding of the requirements. The evidence is fairly clear and convincing with minor reservations in two or more key areas. Insufficient supporting evidence provided.
<b>Serious reservations</b>	25%	<b>SIGNIFICANTLY BELOW THE REQUIREMENTS</b> In the majority of key areas, the evidence is unclear and unconvincing. The overall response casts doubt on the Bidder’s ability to deliver on the requirements. Little supporting evidence provided.
<b>Unacceptable submission</b>	0%	<b>TOTALLY FAILS TO MEET ANY OF THE REQUIREMENTS OR FAILS TO PROVIDE A RESPONSE</b> No response provided or totally fails to address the requirements.



The Bidders shall be made aware in advance of the applicable scoring methodology through the RfP.

Additional scores can eventually be received by offering solutions exceeding the basic requirements and representing added values for the Contracting Authority.

## 3 One-Stage Two-Envelope Procurement With Prequalification

### 3.1 Step 1: Prequalification

**Outcome of Step 1: To establish a shortlist of the best applicants that will be invited to submit the bids (see Step 2) and rejection of the others.**

Prequalification is a standard procurement exercise which has the following **advantages:**

- allowing the Borrower to assess the interest of the qualified firms in the particular tender and make adjustments in the procurement process (if needed).
- reducing the amount of time and work for the Borrower in evaluation of complex technical proposals from unqualified contractors.
- lowering tender costs for bidders, since they only must submit information for this step, and no offer has to be made.
- encouraging the well-qualified firms to submit a high-quality bid knowing that they will compete with a small number of other selected Bidders.

The main disadvantage of Prequalification is increasing the time for the overall procurement phase, which is explained by the need to prepare the prequalification documents.



**For large and complex projects where the anticipated number of Bidders is potentially higher than 10, a Prequalification phase is highly recommended for the determination of a short list of truly experienced companies.**

#### 3.1.1 Main Qualification Criteria

The following methods are used to limit the number of prequalified applicants invited to bid:

- the minimum threshold methodology: all applicants whose proposals have been evaluated as exceeding the predetermined threshold shall be invited to bid.
- the score ranking methodology: selecting the top scoring applicants to be invited to bid.
- in case that more than the allowed or desired number of applicants perform equally well: throw the dice and select allowed or requested number of bidders.



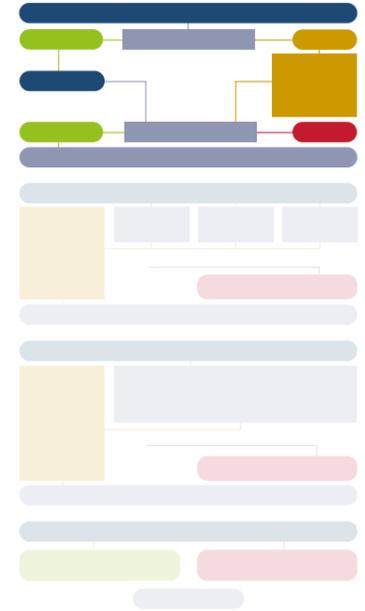
**However, to keep the cost bidding reasonable, we recommend setting limits on the number of successful pre-qualified Bidders:**

- **Between 3–4 as maximum for complex projects (metro lines, railways); and**
- **Between 5–6 for common ones (roads, pipelines).**

**The score ranking methodology requires developing an unambiguous and transparent scoring mechanism. Preference should be given to those with wider international experience and a higher number of successfully completed similar projects.**



**To avoid a distortion of competition, there should be a clear rule that only one Government-Owned Enterprises per country should be allowed to participate in large infrastructure construction projects in other countries. If two or more bidders having the same ultimate owner – whether public or private – participate in the tender, they should both (all) be disqualified.**



In this context, it should be kept in mind that the U.S. foreign assistance agency, the U.S. Millennium Challenge Corporation (MCC), stipulates that Government-Owned Enterprises are not eligible to compete for MCC-funded contracts for goods (which includes contracts for the supply and installation of information systems) or works.

Recurring to guidance issued by MCC in its Program Procurement Guidelines dated February 2021, a “Government-Owned Enterprise” is any enterprise established for a commercial or business purpose that is owned and/or controlled by a Government (whether directly or indirectly).

In this context, “Government” means one or more governments, including any agency, instrumentality, subdivision, or other unit of government at any level of jurisdiction (national or subnational).

Further, “Owned” means a majority or controlling interest (whether by value or voting interest) of the shares or other ownership interest of the entity is owned (whether directly or indirectly and whether through fiduciaries, agents, or other means), whereas “Controlled by” is determined on a case-by-case basis, but means material support for or the power by any means to control an enterprise (regardless of (i) the level of ownership, or (ii) whether the power is exercised).



**Bidders are allowed to refer to the Parent Companies’ Credentials to meet the qualification requirements only in case the Parent Company provides a written commitment to bear the associated risks arising from the tender.**

The competence to carry out the contract are typically established in respect of the criteria listed below.

#### **PQ1<sup>3</sup> - Evaluated aspects:**

These criteria are evaluated through the proposed scoring system.

- PQ1.1 - Eligibility
- PQ1.2 - Historical Contract Non-Performance
- PQ1.3 - Financial Situation and Resources
- PQ1.4 - Experience
- PQ1.5 - ILO Core Labour Standards

#### **PQ2 - Certificates<sup>4</sup>:**

These are based on a Pass/Fail evaluation.

- PQ2.1 - Quality Management certificate ISO 9001
- PQ2.2 - Environmental Management certificate ISO 14001
- PQ2.3 - Health and Safety certificate ISO 45001
- PQ2.4 - Anti-Bribery Management Systems ISO 37001
- PQ2.5 - Energy Management ISO 50001
- PQ2.6 - Collaborative Relationships ISO 44001

<sup>3</sup> Hereinafter the references are given to the Toolkit (Appendix 1)

<sup>4</sup> The list is not exhaustive and may be extended to reflect the needs of a particular project



**In the Prequalification phase, it is recommended to use mainly Pass/Fail evaluation method as a simplified and quicker approach for the determination of a shortlist of experienced bidders.**

The detailed approach for establishing the Qualification criteria is provided in Appendix 2 – Qualification Criteria as well as in the Toolkit (Appendix 1).

## 3.2 Step 2: First Envelope. Quality, Technical and Sustainability Criteria

**Outcome of Step 2: To evaluate from the list of Bidders those who successfully pass the evaluation of blocks 1–3 criteria and to reject those who failed to pass the minimum threshold defined for each of the three Blocks.**

### 3.2.1 Three Blocks’ Evaluation

For the bidding procedure without Prequalification, the evaluation of the qualification of the Bidders shall be conducted as part of the evaluation. It is recommended to apply the same approach for establishing the qualification criteria as presented in Chapter 3.1 with a mainly Pass/Fail evaluation.

In public procurement, there is clearly a need to fulfil all three aspects of:

- **Quality** - to ensure that the contracting authority will get value for money.
- **Technical** - to ensure that the contractor has clearly understood the complexity of the project and has all the technical skills to conduct it efficiently.
- **Sustainability** - to ensure that long term goals (environment, social, safety, ethics) will be considered.

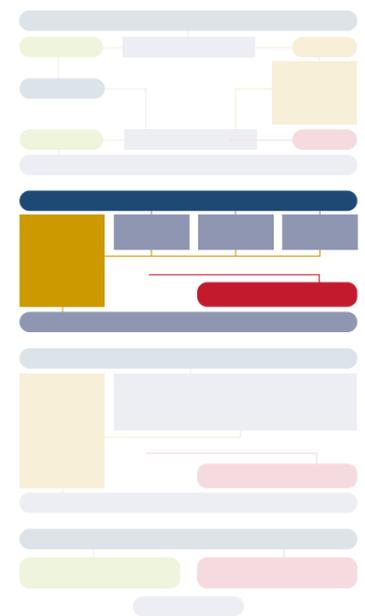


**The recommended minimum threshold applied for each of the blocks should not be less than 70%.**

**The failure to pass a minimum threshold on any of these three blocks shall lead to the rejection of a bid as non-compliant.**

#### 3.2.1.1 Quality, Technical and Sustainability Criteria

The weighting for each of the criteria and sub-criteria shall be determined according to its relative importance in meeting the Employer’s Requirements. The weighting of the individual criteria combined shall amount to 100. Depending on the type of infrastructure project, the weighting of the Quality, Technical and Sustainability (QTS) criteria should be re-arranged to guide the Bidders on the project’s priorities defined by the Borrower. The recommended weighting for the Q, T and S blocks in a works contract is subject to the project type, project size, project goals, etc. and could follow the guidance provided below in Table 2.



Tab. 2 QTS Criteria by Sectors

#	Type of Works Contract	Criteria			Max Scores
		Quality	Technical	Sustainability	
1	<b>Urban Mobility Sector</b> (Roads, Metro and Tramway lines)	30	30	40	100
2	<b>Water Sector</b> (Wastewater treatment plant, Water pipelines, Retention dam)	20	40	40	100
3	<b>Energy Sector</b> (Heating power station, Hydropower plant)	20	30	50	100

The “measurable” criteria shall be evaluated by applying the scoring method as presented in Chapter 2.3.

The provided recommendations are general and shall be further elaborated by the Borrowers depending on the particularities of the project and strategic goals.



**The evaluation methodology and approach to the scoring shall be provided in the bidding documents in a transparent and objective manner that will allow a Bidder to conduct a self-assessment of their bid and reach a high level of certainty in the outcomes of this self-evaluation.**

It is recommended to consider the following QTS criteria:

#### Quality criteria

- Project Implementation Plan
- Quality Assurance Plan

#### Technical criteria

- Site Organisation
- Method Statement
- Mobilisation Schedule
- Construction Schedule
- Key Equipment
- Key Personnel

#### Sustainability criteria

- Compliance with Environmental Requirements
- Environmental Management Plan
- Greenhouse Gas Balance
- Green and Renewable Energy
- Waste Recycling
- Eco-Conception

#### Compliance with Social Requirements

- Implementation of the Social Management Plan
- Relocation Action Plan / Livelihood Restoration Action Plan
- Local commitments to community
- Knowledge transfer / capacity building

#### Code of Conduct for Contractor's Personnel (ES)

#### Localisation of the construction process

- Subcontracting from the local market
- Procurement of the equipment and materials from local manufacturers
- Procurement of raw materials from the local market

More detailed descriptions of the above-listed criteria are provided in the next Chapters of the SOP and in the Toolkit (Annex 1).

Quality and Technical criteria presented below are more or less similar for all projects, whereas the list of Sustainable criteria may be adjusted to reflect the needs of a particular project.



**On the block « Technical », most of the criteria are generally used and are complementary one to another. However, the number of criteria could be lightened. On the block « Sustainability », it is recommended to select only a maximum of 5 of the most relevant criteria.**



**Contracting authorities should obviously not use all suggested criteria but limit the list to the most relevant criteria connected with their specific project and then balance the marking accordingly.**

### 3.2.2 Quality Criteria

#### 3.2.2.0 General Recommendations



**Bidders must demonstrate that they are capable of achieving the required quality level of construction which is key to sustainability of a construction project.**

Quality Factors are essentially twofold, consisting of:

- Project Implementation Plan and
- Quality Assurance system.

Their respective weighting is proposed in Table 3 below.

Tab. 3 Quality Criteria for Block 1

Quality Criteria	Weight in Percentage	Weight in Scores (QTS)
Project Implementation Plan	40	
Quality Assurance	60	from 20 to 40 scores
Total	100	

### 3.2.2.1 Q1: Project Implementation Plan



**The Project Implementation Plan shall define how the Bidders will organise their activities during the project. This organisation shall be adapted and described for each specific phase of the project.**

**The purpose of such a document is to describe the processes, the roles and the responsibilities that will be implemented to allow the entity to work together and demonstrates to Borrowers its ability to manage and execute project requirements successfully.**

Each Bidder shall give a specific response to this issue. According to the structure of Bidders (single entity, Joint Venture, Consortium, or Association – JVCA), it is necessary that all the entities involved apply common and shared management principles on the project.

A Project Implementation Plan is by nature project specific. Its structure may be similar (see Toolkit), but the role of the various stakeholders involved or their organisation (for example, one or several entities) should be clear. However, the Project Management activities included in the Project Implementation Plan are consistent in good practices and essentially represents the body of knowledge of good Project Management.



**Applicants shall be required to demonstrate compliance with International Standard ISO 21500 in the Project Implementation Plan.**

### 3.2.2.2 Q2: Quality Assurance Plan

The Quality Assurance Plan is part of the Project Implementation Plan. It is the basic document that defines the specific organisation set up by the Contractor to achieve the required quality, to detect defaults and to remedy all deviations.

- The Quality Assurance Plan shall include the following process:
- Planning of quality assurance
- Quality control
- Quality improvement process

The recommended scope of the Quality Assurance Plan is provided in Appendix 4.



**The Quality Assurance Plan shall demonstrate the effectiveness of Bidders' quality systems applied to the Contract.**

## 3.2.3 Technical Criteria

### 3.2.3.0 General Recommendations



**Bidders must demonstrate a sufficient understanding of the requirements of the contract and possess adequate qualified staff, enough equipment resources, and has determined the proper strategy to complete the works within the required time and with full respect of quality, environmental, safety and any other requirement using the best practices.**

An adequate technical proposal should exhibit internal consistency among the required elements of the technical proposal covering the entire scope of work as described in the Technical Specifications of the bidding document.

These are the statements of work methods, including sourcing of materials, site organisation, personnel and equipment mobilisation schedule, as well as the construction schedule.

While minor inconsistencies among them would lower the score, omissions of certain key elements as required by the bidding document may lead to a non-responsive assessment.

Depending on the technical complexity of a contract, the weight of the Technical criteria may vary in the range of 30–40 score points out of 100 for the three blocks combined.

The whole criteria, sub-criteria, and distribution of the scores for the different types of works detailed below are presented in the Toolkit (Annex 1) and may be considered by the Contracting Authority for integration into the bidding documents.

These criteria may be used to assess the following features, among others:

- The degree to which the performance, capacity, sustainability, innovative features or functionality features offered by Bidders meet or exceed the levels specified in the performance and/or functional requirements and/or influence the life cycle cost defined in the Technical Specifications or Employer's Requirements.
- The quality of bids in terms of methodology or method statement, work plan, key personnel, access to key equipment, site organisation, safety, quality assurance, mobilisation schedule, implementation schedule and any other specific activities as indicated in the Technical Specifications (or Borrower's Requirements).
- The ability of Bidders to meet and exceed any sustainable procurement requirements specified in the Technical Specifications or Employer's Requirements.



**The criteria shall be structured to minimize the number of clarification requests. The bid evaluation and score shall be based only on the documents originally provided in the bid itself.**

Technical Proposal Scoring Methodology shall include a description of evaluation factors, sub-factors and a formula to score required technical documents as a part of the Technical Proposal.

An example of the Technical Factors (sub-factors) that may be used and their respective weights are described in Table 4 below.

Tab. 4 Technical Criteria and Sub-criteria for Block 2

Technical Criteria	Weight in Percentage	Weight in Scores (QTS)
Site Organisation	20	
Method Statement	40	
Mobilisation Schedule	10	
Construction Schedule	30	
Key Equipment	Pass/Fail	from 30 to 40 scores
Manufacturer's authorisation	Pass/Fail	
Key Personnel	Pass/Fail	
<b>Total</b>	100	

### 3.2.3.1 T1: Site Organisation



**Site organisation is a detailed and well thought out process which ensures a healthy and safe construction site throughout the construction period. An organised construction site establishing a well-coordinated system between parties and performing a good site layout planning.**

The purpose of Bidders submitting the "Site Organisation" is to ensure the understanding of the full picture of the Bidder's complex arrangements needed for effective site organisational management.

The main reasons for choosing Site Organisation as a criterion of evaluation are:

- to assess whether the Bidder will implement effective Site Organisation.
- to assess whether the Bidder organises the Site in an appropriate manner.
- to be sure that Bidders understand how to organise a healthy and safe environment on Site.



**Including the technical criterion of "Site Organisation" for large works in the bidding documents is key to ensure that Bidders have an understanding of the design (if any) and construction process.**

**Such documents may require descriptions of organisational arrangements for construction management adopted for the particular Site conditions.**

In general, Site Organisation involves many tasks, such as site investigation before the construction process starts, material and equipment sourcing and procurement, keeping proper site records, keeping good site communication and a high level of information flow as well as monitoring performance factors regularly.

The Site Organisation shall reflect the expected involvement of all major subcontractors whose experience and capacity are defined. See additional recommendations for the selection of the subcontractors in Appendix 2.

### 3.2.3.2 T2: Method Statement



**A Method Statement is a written document on how the particular activity or process will be undertaken detailing the step-by-step procedures and safety system of work. Risk and necessary remedial measures to be carried out should be elaborated to protect the site workforce and members of the public that may be affected during the course of the activity, controlling specific health and safety risks that have been identified such as lifting operations, demolition or dismantling, working at height, installing equipment, the capacity and use of plant and general consistency of the various tasks.**

Additionally, the purpose of Method Statements is to describe the safety precautions in a high-risk work environment to control risks identified in the risk assessment.

The "Method Statement" is a particularly important document in which the Bidders present their arrangements for the organisation of particular construction activities specifically for those that tend to involve high levels of technical risks. It shall cover the key construction activities and may include among others the use of heavy equipment, working from heights, underground works, use of explosive or dangerous materials etc.

Method Statements don't just suggest control measures; they detail exactly how to implement them.



**Method Statements shall exactly explain how the Bidder will carry out work and specify the safety precautions. For ensuring building site health and safety, method statements are key.**

The Method Statement shall provide the particularities of the applied technology of the construction activities including the applied safety aspects such as personal protective equipment, health and safety contacts and the control equipment required to keep workers and site visitors safe whilst tasks are ongoing.

It shall further break down each task identified within the risk assessment into steps. Whilst the risk assessment is used to assess the hazards involved in each step, the Method Statement should describe all the precautions and safety protocols to mitigate risks. The Method Statement should also cover the hazards associated with by-products of tasks and activities. For example, if any waste is produced, the document needs to cover how to dispose of that waste with safe and accurate execution.

### 3.2.3.3 T3: Mobilisation Schedule



**The Mobilisation Schedule is the written document that shall include all activities and associated costs for transportation of contractor's equipment and operating supplies to the site; establishment of offices, buildings, accommodation of staff and other necessary general facilities for the contractor's operations on site. It may additionally describe premiums paid for performance and payment bonds including co-insurance and re-insurance agreements as applicable.**

The Mobilisation Schedule shall correspond to the overall Construction Schedule and demonstrate the Bidder's understanding and capacity to mobilise the resources in due time.

#### 3.2.3.4 T4: Construction Schedule



**A Construction Schedule is a blueprint of how, with what and by when a specific task of the project will be executed. A Construction Schedule outlines project timeframes/ milestones and tracks project progress to keep everything on time and on budget.**

Purpose of Bidders submitting a "Construction Schedule" document is to determine:



**The understanding of the nature of the project, the time needed to perform each task, its sequence and order to complete the project on time.**

**Ensure that the construction will go as planned and will be completed within the set timeframe.**

Being an evaluation criterion, the Construction Schedule allows assessing the Bidders' understanding of planning the construction process taking into account the project constraints. Building a solid schedule is crucial to completing a construction project on time and under budget.

For complex construction projects with a long duration, the Construction Schedule may be requested with a sufficient level of details and based on professional software such as Primavera.

The definition of the critical path is essential to understand the planning horizon and estimate the level of risks attached to it.

#### 3.2.3.5 T5: Key Equipment



**Key Equipment is the list of essential gear requested for the project that is needed to perform the Contract smoothly and safely. Construction equipment is a broad term that refers to machines, tools and vehicles used for construction purposes. There is a wide range of equipment that falls under this category, from small hand tools to large machinery.**

The objective is to demonstrate clearly that the Bidder has the capability to mobilise the key equipment in quality and number which is needed to achieve the successful completion of the Works.

The main reasons for choosing Key Equipment as a criterion of evaluation are:

- To investigate and evaluate the Bidder's capacity before awarding the contract.
- To determine that the Bidder has the appropriate technical resources (e.g., specific equipment) to carry out the contract to the required quality standard.

An inventory of construction equipment represents a high capital cost overhead to a

contractor. Therefore, not all competent potential Bidders will maintain an inventory of high-value items that are in suitable condition for major contracts. In most cases, applicants can readily purchase, lease or hire equipment.

Even in such cases, main contractors may not obviously own all the equipment. They may rely on specialist subcontractors or equipment hire firms but must confirm the availability of the specified equipment and should be subject to verification in such cases. Hiring local nonspecialised equipment (such as lorries) should be considered positively as it favours local transporters.

The Pass/ Fail criteria adopted should therefore be limited only to bulky or specialised items that are critical for the type of project to be implemented and that may be difficult for the contractor to obtain quickly. Examples include items such as heavy cranes, piling barges, dredges, asphalt mixing plants, crushing plants and tunnel boring machines.

#### 3.2.3.6 T6: Manufacturer's Authorisation



**The Manufacturer's Authorisation Letter serves to confirm that the representative company is authorised to provide the goods/services supplied by the Manufacturer, including any warranty obligations and after sales support as may be required.**

**The purpose is to ensure that the critical supplies are not subject to limitations or restrictions of the Manufacturer's warranty.**

For the unique and specific equipment to be supplied, it is extremely important to ensure that the Manufacturer duly authorises a Bidder to supply the equipment in the Employer's country for the particular project. Attention shall be given to the verification of the availability of the Manufacturer's authorised service centres in the Employer's country or arrangements of the Manufacturer's warranty and the post-warranty services, including the associated time and costs.



**It is recommended that the manufacturer's authorization may only be required for the critical and unique equipment (turbine, generators, etc.)**

#### 3.2.3.7 T7: Key Personnel



**The Key Personnel Schedule is the list of key personnel assigned to meet the needs of construction projects.**

**The objective is to demonstrate that the Bidder will have suitable, highly professional and qualified key personnel required by the bidding documents (and in adequate numbers) to perform the Contract.**

The experience and performance capacity of a construction team will affect all parts of the construction phase, from initial planning, on site design adaptations, inspection, quality control, work progress, regulatory issues, budget control and human resources management but also all aspects linked to sustainability (environmental, social,...).

To evaluate the capacity of the Bidder's Key Personnel the following information shall be required as part of the Key Personnel Schedule:

- The Contractor's organisation chart with identification of only the managers and experts who will be directly involved in the contract.
- Naming the Contractor's Representative.
- Providing the CV of the Contractor's Representative and Key Personnel.
- Issuing a declaration of availability of the Contractor's Representative and the main Key Personnel.

Thus, it is important to be sure that submitted information about the availability of the key personnel will ensure their availability throughout the whole period of performing the Contract, and that the submitting of personnel meets the requirements set in the bidding document.



**Key personnel should sign a declaration of availability in case the project is awarded and confirm that the presentation of the CV is truly reflecting their experience.**

**For the global evaluation of key personnel, the rated approach with a threshold is recommended.**

**Thus, the minimum level of requirements for the Key Personnel shall be clearly defined (minimum duration of professional experience, education, occupation of the particular positions, etc.).**

**In case a substitution of one or more members of the key personnel becomes necessary at the commencement of the works, replacement could be allowed if substitute key personnel is equivalent to the key personnel indicated at tender stage.**

### 3.2.4 Sustainability Criteria

#### 3.2.4.0 General Recommendations



**Bidders must demonstrate that they have integrated all the sustainability stakes of the project, and that the solutions they will implement in its realisation have been the subject of optimisation.**

Sustainability is measured by evaluating:

- The environmental impact (e.g., conservation of energy and natural resources).
- The economic impact (e.g., cost reduction and increased investments).
- The societal impact (e.g., contribution to the social wellbeing of the community).



**International standards and reference frameworks dealing with sustainable development have multiplied, improved and consolidated in the last decade: United Nations Sustainable Development Goals (UN SDGs), International Finance Corporation sustainability framework (especially the performance standards (PS 1 to 8)) social standards (EE 1 to 10), or Global Reporting Initiative (GRI) standards to quote just a few among the most known.**

**However, these comprehensive standards require interpretations in their application that do not allow them to be used as simple immediate selection criteria.**

It is therefore necessary to develop criteria inspired by these benchmarks, criteria that must be robust, impartial, objective and relatively simple to apply, based on internationally recognized tools and/ or methodologies. This harmonisation of standards could help project submissions especially in case of multiple MDBs.

Hereafter is a proposed list of the Sustainability criteria, organised in five main categories, that may be used, their respective proposed weighting is described in Table 5 below.

**Tab. 5 Sustainability Criteria for Block 3**

Sustainability Criteria	Weight in Percentage	Weight in Scores (QTS)
<b>S1 Environmental</b>	35	
S1.1 Environmental Management System	Pass/Fail	
S1.2 ES Management Strategies and Implementation Plan	15	
S1.3 Greenhouse Gas Accounting	10	
S1.4 Waste Management	5	
S1.5 Eco-Design	5	
<b>S2 Social</b>	35	
S2.1 Implementation of the Social Management Plan		
S2.2 Relocation Action Plan / Livelihood Restoration Action Plan	15	
S2.3 Local commitments to community	10	from 30 to 50 scores
S2.4 Knowledge transfer / capacity building	10	
<b>S3 Occupational health and safety</b>	10	
S3.1 Occupational health and safety management system	Pass/Fail	
S3.2 Certified HSMS	10	
<b>S4 Ethics</b>	10	
<b>S5 Local content</b>	10	
S5.1 Subcontracting from the local market	6	
S5.2 Procurement of equipment and materials from the local manufacturers	3	
S5.3 Procurement of raw materials from the local market	1	
<b>Total</b>	<b>100</b>	



**Contracting authorities should obviously not use all suggested criteria but limit the list to the most relevant criteria connected with their specific project and then balance the marking accordingly.**

These criteria cover all topics of international standards, as the following table demonstrates for, as an example, the MEAT criteria of EFCA:

MEAT Criteria	SOP criteria
Sustainability criteria	
Noise reduction	S1.2
Reduction of energy	S 1.2 / S1.3
CO2 reduction	S 1.3
Circularity	S1.2 / S1.4 / S1.5
Sustainable use of material	S1.2 / S 1.5
Environment	
Communication with stakeholders	S2.1 / S2.3 / S5
Information	S2.1
Safety	S3.1 / S3.2
Hindrance	S3.1 / S3.2
Accessibility	S 2.1
Minimisation of smell or other pollutants	S1.2

#### 3.2.4.1 S1: Environmental Requirements



**An Environmental and Social Management System (ESMS) helps companies to integrate plans and standards into their core operation and is critically important in today's global economy. The Bidders shall document their application of the project's ESMS and demonstrate their commitment to be an active actor of the construction of a sustainable, eco-designed build project.**

##### S1.1: Environmental Management System

The Bidders shall provide a global description of their future Environmental and Social Management System (ESMS) which sufficiently contextualises details to demonstrate their understanding of the project stakes and issues, as well as an indication of the Bidder's contribution to the global Stakeholder Engagement Plan.

The International Finance Corporation (IFC) Performance Standard 1, "Assessment and Management of Environmental and Social Risks and Impacts" establishes the importance of integrated assessment to identify the environmental and social impacts, risks and opportunities of projects; effective community engagement through disclosure of project-related information and consultation with local communities on matters that directly affect them; and the client's management of environmental and social performance throughout the life of the project.

The IFC Performance Standards 1 to 8 establish the importance of integrated assessment to identify the environmental and social impacts, risks, and opportunities

of projects; effective community engagement through disclosure of project-related information and consultation with local communities on matters that directly affect them; and the client's management of environmental and social performance throughout the life of the project. It is certainly one of the most comprehensive tools available today. Other frameworks (as the Environmental and Social standards of the World Bank) could also be considered.

Other resources include:

- Environmental and Social Management System (ESMS) Implementation Handbook – GENERAL
- ESMS Self-Assessment and Improvement Guide [Excel]
- Environmental & Social Management System (ESMS) Diagnostic Tool
- The ESMS Toolkit – General provides tools (checklists, templates, and forms) to help implement ESMS improvement plans.



**As the ESMS is a prerequisite for good environmental practice, it is recommended that the evaluation of such draft ESMS follows a Pass/ Fail criteria.**

##### S1.2: Environmental Management Plan Implementation



**The Environmental Management Plan Implementation is a notice providing adequate information about the Bidder's understanding on each topic/action of the EMP and the way they consider their realisation.**

The projects should have been the subject of E&S studies that resulted in an EMP (Environmental Management Plan) and potentially a number of subsequent plans (biodiversity plan, waste management plan, water resource management plan, etc.). The applicant shall demonstrate that they have reviewed all actions of the EMP, understood their scope and involvement and anticipated the implementation modalities (in terms of means, partnerships, stakeholder involvement, implementation schedule, etc.).



**It is recommended that the Bidder provides sufficient information on their understanding of each topic/ action of the EMP and the intended means of realisation. It should not be just a rewording the EMP but must demonstrate some additional innovation and adaption to their own understanding.**

**As this item specifically is important, it is recommended to apply the scoring method introduced in Chapter 2.3 and to assign only one bid per category.**

##### S1.3: Greenhouse Gas Accounting



**The Greenhouse Gas emission estimation for the work is a calculation of all the emissions (and in some cases removals) of GHG due to the project.**

A preliminary global GHG balance of the works should be delivered by the Bidders. The scope and perimeter of such balance should carefully be clarified in the consultation process, to allow a fair comparison of the Bidders' GHG emissions.



**It is recommended that applicants be required to demonstrate compliance with International Standard ISO 21500 / GHG protocol standards in their GHG accounting study.**



**If ISO 21500 standard is applied, many application tools are available and none is considered as an absolute reference (these include the Agence Française de Développement AFD Carbon foot printing tool, the Egis Eva Carbon tool or the OpenLCA / Ecoinvent emission factors databases).**

The choice of the tool can be left to the bidder, provided that the tool follows the ISO guidelines and has been reviewed in a transparent process.

The Bidders will be subdivided into four categories and will subsequently have the following scores:

Categories	Weight in Percentage (Sub Sustainability Criteria 1.2 = 10 max)
Best GHG budget (minimum)	10
GHG Budget ranking p99 > GHG rank $\geq$ p50	7
GHG Budget ranking p50 > GHG rank $\geq$ p25	5
GHG Budget ranking p25 > GHG rank	2

NOTA: e.g. p99: percentile 99 of the criteria ranking

#### S1.4: Waste Management



**A proper waste management policy shall involve several steps:**

- **Prevention, i.e. avoiding waste from the design stage (eco-design).**
- **Reuse, which means reusing materials before they are disposed of, without any major modification apart from refurbishment.**
- **Recycling, which consists of sorting materials and then transforming them through industrial processes to recreate new material.**
- **Energy recovery, by injecting the heat produced by incineration into a heating network.**
- **Then, as a last resort, elimination.**

As the works may produce a large amount of different waste, the Bidder shall describe their policy for waste management, commit to a minimal target of reuse/recycling for the main waste categories and identify the potential final facility(ies)/landfill(s) for elimination.



**The Bidder should commit to a minimal target of reuse/recycling for the main non-hazardous waste categories. They should describe their full waste management policy for all waste (hazardous and non-hazardous).**

The Bidders will be subdivided into four categories and will subsequently have the following scoring:

Categories	Weight in percentage (Sub Sustainability Criteria 1.2 = 5 max)
Best target in Reuse/Recycling waste % (maximum)	5
p99 > Waste R/R rank $\geq$ p50	4
p50 > Waste R/R rank $\geq$ p25	2
p25 > Waste R/R rank	0

NOTA: pXX: percentile XX of the criteria ranking

#### S1.5: Eco-Design

Eco-Design is the integration of environmental aspects into the product development process by balancing ecological and economic requirements. Eco-Design considers environmental aspects at all stages of the product development process, striving for products which result in the lowest possible environmental impact throughout the product life cycle (European Environment Agency).

If the Bidder wants to improve the project's conception by a permitted alternative (on the project itself to avoid/reduce impact, or to reduce the energy/resources/natural resource-consumption, or to enhance the efficiency of the compensation measures), they should demonstrate the positive and meaningful effect through standard methodology and tools.

These criteria act as a bonus, since a significant and innovative Eco-Design contribution will allow for a greater Weight in percentage (Sub Sustainability Criteria 1.5) value of 5, this score-value being reduced to 2.5 for a minor but still significant contribution, and 0 (zero) if no Eco-Design has been implemented.

#### 3.2.4.2 S2: Social Requirements

##### S2.1: Implementation of the Social Management Plan / Relocation Action Plan / Livelihood Restoration Action Plan



**The Social Management Plan implementation is a notice providing sufficient information about the Bidder's understanding on each topic/action of the SMP and the way they are to be achieved.**

The projects should have been the subject of E&S studies that resulted in the proposed ESMP (Environmental & Social Management Plan). The applicant thereby demonstrates that they have reviewed all actions of the ESMP regarding the social topic, understood their scope and involvement, and anticipated the implementation.



**In the case of existing RAP/LRAP, the focus should be placed on the next criteria S.2.2.**

### S2.2: Relocation Action Plan / Livelihood Restoration Action Plan



**Resettlement Action Plan or “RAP” means the Recipient’s document prepared and disclosed in accordance with the Resettlement Policy Framework with respect to the Project (or a Sub-project), which:**

- (i) contains a census survey of Displaced Persons and valuation of assets;**
- (ii) describes compensation and other resettlement assistance to be provided, consultation to be conducted with Displaced Persons about acceptable alternatives, institutional responsibilities for the implementation and procedures for grievance redress and arrangements for monitoring and evaluation;**
- and (iii) contains a timetable and budget for the implementation of such measures. If the Project only involves economic displacement (no physical displacement), a Livelihood Restoration Plan is developed setting out compensation for affected persons and/or communities and other assistance measures. The applicant shall demonstrate that they have reviewed all actions of the RAP/LRAP, understood their scope and involvement and anticipated the implementation.**

The Bidder should provide sufficient information about their understanding on each topic/action of the RAP/LRAP and its importance of that contribution (direct as the lead or indirect as a contributor) to the successful implementation of these plans.



**The Bidder should provide sufficient information about their understanding on the RAP/LRAP and its importance of that contribution to the realisation of these plans. Providing a global methodology is important in case of unexpected/ involuntary displacement (due to work outside the right-of-way, planning slip, etc.) to adapt procedures.**

It is recommended to apply the scoring method introduced in Chapter 2.3 and to assign only one bid per category.

### S.2.3: Local Commitments to Community



**The Bidders should demonstrate their commitment to gender and social inclusion targets. To be inclusive of a broad societal spectrum, such as women, youth, the unemployed or disabled as well as fostering recruitment of local/on-site workforce, based on minimum targets.**

Addressing all of these commitments on a single project will be challenging, the Bidder should therefore commit to at least two of the categories (a common example being the percentage of unemployed people and local workforce in the total workforce).

To evaluate the community action, the total budget dedicated to the commitment will be used to rank bidders:

Categories	Weight in percentage (Sub Sustainability Criteria 2.3 = 10 max)
Largest budget dedicated to local commitments to Community actions (maximum)	10
p99* > Budget rank $\geq$ p50	7
p50 > Budget rank $\geq$ p25	4
p25 > Budget rank	2

\* pXX: percentile XX of the criteria ranking

### S.2.4: Knowledge Transfer / Capacity Building



**Capacity building can be described as the process of helping local actors to acquire and use information relevant to a successful policy implementation and/or to increase technical, managerial or intellectual skills.**

Capacity building takes place in two dimensions. One dimension is vertical, through interventions from other levels. The other takes place across a particular level with different stakeholders, i.e., horizontally. Horizontal capacity building involves sharing experiences and knowledge efficiently for implementing policies into practice and sharing outcomes of the implementation. The Bidder should consider how their project can implement such capacity-building policy and propose effective actions.

The capacity-building plan is a list of potential stakeholders, capacities/skills to be increased and concrete actions allowing this knowledge transfer (workshops, training, conferences, visits, fora, etc.).



**The Bidder should commit to a minimum target of knowledge transfer actions and to a minimum number of people benefiting from this policy. This could be declarative or form part of the step 2 evaluation and then be evaluated through the budget dedicated to these knowledge transfer actions during the financial evaluation.**

The Bidders will be subdivided into four categories and will subsequently have the following scoring:

Categories Knowledge Transfer Actions Budget	Weight in Percentage (Sub Sustainability Criteria 1.2 = 10 max)
Best Knowledge Transfer Actions Budget (maximum)	10
p99* > KTA Budget rank $\geq$ p50	7
p50* > KTA Budget rank $\geq$ p25	4
p25* > KTA Budget rank	2

\* pXX: percentile XX of the criteria ranking

### 3.2.4.3 S3: Occupational Health and Safety

The ISO 45001:2018, Occupational health and safety management systems and OHSAS 18001:2007, Occupational health and safety management systems are often cited as the two sets of international standards that govern plans and SOPs. Available resources for this topic exist in abundance. An example of an Environmental and Social Management System (ESMS) Plan with references to structure and content (applicable IFC performance standard and corresponding ISO and OHSAS requirements) can be looked at here.

#### S3.1: Occupational Health and Safety Management Systems



**The Bidders shall provide the draft of their Occupational health and safety management system (OHSMS) applicable to the project. This system should meet set international standards.**



**As the OHSMS is a prerequisite for good occupational health and safety practices, the submission of a draft OHSMS is a Pass/Fail criterion.**

#### S3.2: Certified Occupational Health and Safety Management Systems

The commitment by the Bidder to get an internationally recognised certification of their OHSMS in the first year of the contract will be a bonus, with a percentile weighting (Sub Sustainability Criteria 4.2) of 10.

### 3.2.4.4 S4: Ethics: Code of Conduct



**The Code of Conduct defines the ethical requirements and standards for the Bidder and their contractors, who are expected to sign and respect it, and work actively towards its implementation. The provision of the ethical standards constitutes minimum rather than maximum standards.**

International and national laws shall be complied with, and where the legal provisions and the Contracting Authority's standards address the same subject, the higher standard shall apply. It is the responsibility of the contractor to assure that their contractors and subcontractors comply with the ethical requirements and standards set forth in the Code of Conduct.



**The use of the UN's Sustainable Development Goals (SDGs) is a good way to narrow down what is often considered one of the vastest, heterogeneous, and tricky fields for international operations.**

**We also recommend, whenever it is possible, the incorporation of the requirements into contractors' contracts to reinforce the code.**

Other resources include:

- UN Universal Declaration of Human Rights, 1948
- Geneva Conventions I-IV, 1949 and additional Protocols
- ILO Declaration on Fundamental Principles and Rights at Work, 1998
- UN Child Convention on the Rights of the Child, 1990
- Worst Forms of Child Labour Convention, 1999
- Minimum Age Convention, 1973
- Freedom of Association and Protection of the Right to Organise Convention, 1948

The submission of such a Code of Conduct is a minimum requirement for a sustainable contract and is therefore a Pass/Fail criterion. Please note that providing an ISO 37001 certification (anti-bribery management system) is equally a prerequisite (see PQ2.4).

### 3.2.4.5 S5: Local Content



**In simple terms, local content refers to the use of local skills and materials in constructing and/or maintaining an asset or service. Key components of local content include local employment and skills development, local procurement of goods and services and enhancing the capacity of local suppliers and contractors.**

The Bidders shall be encouraged to maximize the local content as this has a direct impact on the local economy and could also act as a catalyst for the local construction industry.

Incorporation of the Local Content requirements to the bidding documents can be done in one of the following manners:

- Determine or suggest the particular work that has to be provided by (a) local subcontractor(s) or supplier(s) at tender stage.
- Fix a minimum percentage of the amount of the works that shall be procured by the Bidder from the local market as a percentage of the Contract price.



**It is recommended to use a declarative assertion of each contractor to determine the percentage of local content. This will be considered at the stage of evaluation and checked when financial bids are opened.**

**The scores given to Bidders as part of the evaluation of the Local Content criterion shall be confirmed (and adjusted if necessary) by evaluation of the financial arrangements indicated in the financial bids.**

**Failure to reach the minimum percentage shall lead to the rejection of a bid as non-compliant.**



**Prior to establishing the local content criteria which may lead to rejection of the Bidders, the Contracting Authority shall verify if the qualified subcontractors can be hired on the local market.**

**The rigorous requirements that comply with the best international environmental practices shall be complied with in situations when the raw bulk materials are to be procured from the local market and where the development of a new quarries or the significant extension of existing quarries may be required.**

### 3.2.5 Outcome of Evaluation of the QTS Blocks

After the evaluation of the Quality, Technical and Sustainability criteria, the Bidder's scores received for each block will be summed up and the combined score for the technical part of the bids will be determined.



**It is recommended that the Contracting Authority rejects Bidders who have failed to pass:**

- **The individual thresholds set up for each block.**
- **The cumulative threshold set up for the entire technical part.**

The envelopes with the financial proposals of the Bidders who successfully passed the technical evaluation will be opened in public and the evaluation committee will then evaluate their financial proposal as described in the next Chapter.

## 3.3 Step 3: Financial Evaluation

**Outcome of Step 3: To identify and reject abnormally low, frontloaded, or financially unbalanced bids and ranking of the Bidders' financial proposals (see Step 4).**

### 3.3.1 General Considerations on the Evaluation of the Financial Proposals

Evaluation of the financial part of the bids is an important step that should be taken with due caution and attention to the details in the bid evaluation process.

The envelopes with financial proposals shall be opened only after completing the technical evaluation and determining the list of Bidders who successfully passed the QTS scores threshold. The financial proposals of the unsuccessful Bidders shall be returned to them unopened.



**It is recommended that all the Bidders are requested to submit the breakdown of unit prices as part of the initial bid.**

**The template of the unit price breakdown is presented in Appendix 5.**

### 3.3.2 Adjustment of the Financial Proposals

Evaluation of the financial proposals shall be conducted with adherence to the following procedure:

- The bid prices should be adjusted for the purpose of bid comparison for those deviations which are permissible, and which can be "translated" fairly into monetary values. The calculation of financial adjustment should be in the manner specified in the bidding document. The unit price can be adjusted based on the average unit price submitted by other Bidders or in accordance with the applicable standards for quantification of the construction works.
- All the adjustment factors and the basis of price comparison specified in the bidding document must be taken into account. Factors or other criteria not listed in the bidding document shall not be introduced during the bid evaluation.

The Contracting Authority will determine for each tender the evaluated price by adjusting it as follows:

- Adjusting for the provisional sums and contingencies.
- Applying discounts offered, if any, by the Bidder.
- Converting, if applicable, into the common evaluation currency.
- Adding the cost of quantifiable non-material deviations and omissions.
- Adjusting for savings of alternative technical proposals, if permitted.
- Adjusting for alternative time for completion, as appropriate if permitted.
- Applying local preference conditions, if applicable

Detailed description of the financial evaluation of the bids is provided in the SBDs of the different MDBs.

### 3.3.3 Abnormally Low Bids and abnormally low unit prices

The guidance developed by the World Bank<sup>5</sup> is one of the most practical guides which helps to identify and handle Abnormally Low Bids.



**Abnormally low bids and/or frontloaded bids shall be considered non-compliant and must be rejected.**

A similar methodology should apply for determining an abnormally low unit price or rate if and when one or more specific unit price rate(s) appear(s) unreasonably low and/or deviate substantially from the average unit rates submitted by the other bidders.



**Evaluation of the price and determining whether a Bidder offered an abnormally low price, unbalanced, or frontloaded bid, will require the involvement of experts with practical experience and good knowledge of the market.**

The above-mentioned World Bank Guidance recommends the following procedure for the evaluation of subtotals for various parts of contract:

All Bidders will have individually determined the price of the various parts of the contract. Therefore, providing that the preliminary work programs adopted by the Bidders are comparable, the average subtotals quoted by the Bidders for various parts of the contract should be representative of the actual price and provide a benchmark for assessing the subtotals quoted by the lowest price Bidder.

The most accurate way to compare the various subtotals is using a line chart of subtotals quoted for various parts of the contract by other Bidders. With the exception of subtotals quoted by the lowest price Bidder, the Borrower first enters all subtotals quoted by other Bidders for various parts of the contract into a combined line chart.

The Borrower's estimated subtotals for the respective parts of the contract should also be inserted into the line chart. The Borrower compares all subtotals for each part of the contract and notes the nature of any inconsistencies with the view to determining the average subtotals for each part of the contract.

Once the Borrower has determined the average subtotals for each part of the contract these are compared with the respective subtotals quoted by the lowest price Bidder.

If all the subtotals quoted by the lowest price Bidder are below the average subtotals by the same percentage, then the lowest price Bidder may have grossly underestimated its overhead expenses and/or chosen to incorporate an exceptionally low profit margin and contingencies in its rates. In such instances, the Borrowers further evaluation should concentrate on the breakdown of the Bidder's overhead expenses and clarification of the basis for determining its profit margin and contingencies.

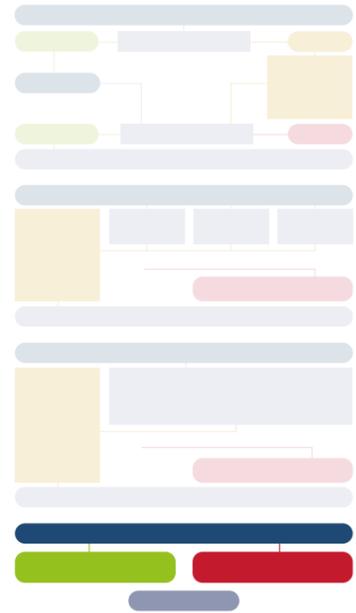
<sup>5</sup> The World Bank "Guide to the identification and treatment of Abnormally Low Bids and Proposals", July 2016

In such cases, the Borrower's further assessment should focus on the breakdown of the Bidder's overhead expenses and clarification of the profit margin and contingencies.

If the shortfall is between the average subtotal and the subtotal quoted by the lowest price Bidder for a certain part of the contract, the Borrower's further evaluation should focus on detailed price analyses and assessment for that element of the Bid.



**The Tender Committee should carefully scrutinise all subtotals quoted for the various parts of the contract from all the bidders to determine whether all quoted rates or unit prices correspond to the economically reasonable level considering either the actual market price and/or the average unit rates submitted by other participants and/or by a pre-determined mechanism accepted by the funding institution.**



### 3.4 Step 4: Most Economically Advantageous Tender (MEAT)

**Outcome of Step 4: To award the contract and officially inform the unsuccessful bidders.**

The bid with the MEAT shall be determined by applying the predetermined formula which allows to consider combination of the technical scores and outcomes of the financial evaluation.

The following formula is suggested for computing the combined scores technical and price aspects:

$$B = \frac{P_{low}}{P} X + \frac{T}{T_{high}} (100-X)$$

Legend:

- B combined score technical and price aspects
- P evaluated bid price
- $P_{low}$  lowest of all evaluated prices among responsive bids
- T total technical score awarded to the bid for all three blocks (QTS)
- $T_{high}$  technical score achieved by the bid that was scored highest among all responsive bids
- X weighting of price

This approach will ensure that the bid with the highest combined technical and price score will be determined as the MEAT bid which shall be recommended to be awarded the contract.

## 4 Toolkit for Sustainable Procurement

### 4.1 General Considerations

This Standard Operating Procedure (SOP) is not intended to increase project costs, but to provide procedure improvements to build more resilient and sustainable infrastructure with a positive environmental and social impact.

Building more resilient infrastructure in low- and middle-income countries will benefit the population and future generations. Procurement is a crucial tool to help build more resilient infrastructure and mitigate the risks related to climate change.



**The purpose of the Toolkit is to suggest the Contracting Authority with a practical tool for applying the QTS criteria and providing recommendations for determining and quantifying the evaluation criteria and sub-criteria.**

It introduces some recommendations or warnings to the methodology to ensure the safe implementation of responsible procurement.

In order to provide a practical tool to incorporate the Qualification, Quality, Technical and Sustainability criteria into the evaluation process of the bidding documents, the SOP is supplemented by the Toolkit for Sustainable Procurement (Appendix 1).

The criteria and sub-criteria incorporated in the toolkit should be further evaluated by applying the method introduced in Appendix 3 or a similar system.



**The provided Toolkit is a generic document and it has to be carefully considered by the Contracting Authority and procurement consultant prior to its application to the particular procurement project to ensure that the project's goals are incorporated into the bidding documents in a full and unambiguous manner and may be achieved by applying of the relevant criteria.**

## 4.2 Particularities

### Cross-Reference System

The item numbering in the Toolkit is cross-referenced with the SOP (ex. PQ1.1 in the Toolkit, see Chapter 3.1.1 SOP).

The Toolkit is structured in the following manner:

#### Horizontal Structure

<b>Prequalification Criteria</b>	The group of criteria labelled as "PQ" and marked in blue. The applicable evaluation method is Pass/Fail;
<b>Quality criteria</b>	The group of criteria labelled as "Q" and marked in yellow. The applicable evaluation method is Weighted Scores;
<b>Technical criteria</b>	The group of criteria labelled as "T" and marked in orange. The applicable evaluation method combines Pass/Fail and Weighted Scores;
<b>Sustainability criteria</b>	The group of criteria labelled as "S" and marked in green. The applicable evaluation method is Weighted Scores.

#### Vertical Structure

<b>Range of application</b>	specifies if the criteria applies to Prequalification (PQ), the main tender (QTS), or may be variable (PQ/QTS or QTS/PQ).
<b>Assessment Method</b>	specifies if the criteria require evaluation or simply verification of the existence of the documents.
<b>Result</b>	specifies if the outcomes of the evaluation passed or failed, plus the Weighted Score if passed.
<b>Mini – Maxi</b>	defines the suggested minimum and maximum ranges of the scores for each criterion.
<b>Recommended</b>	defines the recommended scores.
<b>Application</b>	specifies the type of construction projects where the particular criteria shall apply.
<b>Available templates</b>	specifies the source of the draft templates.

#### Assessment Methodology

The Toolkit introduces the following two types of assessment methodology:

- Evaluation based on the Pass/Fail method.
- Evaluation based on the Weighted Scoring system.

An example of the bid evaluation based on the scoring methodology is presented in Appendix 6.

### Weighting Factors

The criteria shall be structured to allow a clear and unambiguous understanding of both the Bidders and evaluators from a Tender Committee. It is recommended that all "non-measurable" criteria be evaluated based on the Pass/Fail method.

The "measurable" criteria shall be structured in a manner that allows the incorporation of the project targets into the bidding procedures and evaluation of the proposed bids with a focus on the Bidder's ability to understand the targets and achieve them. The applicable criteria shall be drafted in a clear and simple manner that allows the international contractors to interpret them unequivocally. The minimum/maximum number of applicable criteria is not limited but should correlate to the project targets and allow reasonable verification of the Bidder's capacity to complete the project successfully.

When the criteria presented in the groups Qualification, Quality and Technical shall apply for the majority of the construction projects with a minimum variation of its scope, the application of the Sustainability criteria significantly depends on the project type. For example, the criteria Eco-Design (S1.5) will apply only for a project where a Contractor is involved in the design.

The weighting factors of the sub-criteria proposed in the Toolkit have been defined based on the Consultant's experience in the different sectors and shall be tailored by the Contracting Authority to the needs of a particular project in order to ensure its compliance with the ultimate purpose of the procured contract.

## EFCA

The **European Federation of Engineering Consultancy Associations (EFCA)** is the only federation to represent the engineering consultancy industry in Europe. Founded in 1992, EFCA has member associations in 29 European countries representing over 10,000 companies and more than one million staff in engineering and related services. European consulting engineering companies work globally, in partnership with institutions, private companies and other stakeholders, to address global issues in a local context. In particular, European consultancy and engineering firms have long experience in contributing to the development of low- and middle-income countries.

European consultants provide services that include world class design, regulatory and policy reform and environmental and social assessment across a range of sectors, including energy, climate, environment, urban development and transport. Furthermore, the provision of institutional strengthening and capacity building to national and local governments as well as public utilities is a core service that European consulting engineering companies place a particular emphasis upon, thus contributing to the sustainable development of developing and least developed nations.

Working together with the EU Commission and the European and Multilateral Development Banks, European consulting engineering companies can make a significant contribution both directly and indirectly to the achievement of the Sustainable Development Goals <sup>6</sup> and the external dimension of the European Green Deal<sup>7</sup>.

EFCA is, as the representative of the European consultancy industry, and based on the track record of its many members, the relevant partner for defining a new framework and toolkit for procurement of civil works that Incorporate Sustainability Criteria in the Procurement with European Development Financing.

EFCA and the European consulting engineering companies are committed to the Sustainable Development Goals and want to actively fill the gap between the fundamental criteria for sustainability and Green Deal commitments and the actual development of physical assets. Particularly for projects in low- and middle-income countries this calls for a new approach. And the development of an EFCA-EIC Toolkit will make it possible to bridge this gap.

<sup>6</sup> adopted by the United Nations in 2015 as a universal call to action to end poverty, protect the planet, and ensure that by 2030 all people enjoy peace and prosperity

<sup>7</sup> [https://ec.europa.eu/info/strategy/priorities-2019-2024/european-green-deal\\_en](https://ec.europa.eu/info/strategy/priorities-2019-2024/european-green-deal_en)

## EIC

**European International Contractors (EIC)** has as its members construction industry trade associations from fifteen European countries and represents the interests of the European construction industry in all questions related to its international construction activities particularly with respect to the political, legal, economic and financial framework conditions for the international business.

European international contractors are operating for more than a century in all corners of the world. The total volume of international turnover carried out in the year 2020 by the internationally active construction companies associated with EIC Member Federations amounted to more than US\$ 230 billion according to the ENR magazine.

EIC advocates fair international competition and balanced contract conditions, quality-based procurement and value-for-money, innovative project delivery schemes and sustainable construction methods.

EIC aims to create new business opportunities for European contractors by promoting a closer collaboration between development and commercial financiers and by promoting Public-Private Partnerships internationally.

EIC provides a unique forum for networking and sharing experiences regarding all matters relating to the international construction business.

## Qualification criteria

	Criteria	Sub criteria	Range of application	Method of assessment	Result	Mini	Maxi		Recommended	Application	Available templates	General Comments
<b>PQ1</b>	<b>Evaluated aspects</b>											
PQ1.1	<b>Eligibility</b>		<b>PQ</b>	<b>Evaluated</b>	<b>Pass/fail</b>	-	-		-	<b>All Projects</b>	<b>PQ1.1_Form ELI</b>	The appropriate Form shall be selected depending on the IFIs requirements and provisions of the applicable Procurement Policies and Rules. In case of doubts, the template provided in the WB standard bidding documents may be consulted
PQ1.1.1		Nationality	PQ	Evaluated	Pass/fail	-	-		-	All Projects	the SPDs issued by a relevant IFI	
PQ1.1.2		Conflict of Interest	PQ	Evaluated	Pass/fail	-	-		-	All Projects	the SPDs issued by a relevant IFI	
PQ1.1.3		Bank Eligibility	PQ	Evaluated	Pass/fail	-	-		-	All Projects	the SPDs issued by a relevant IFI	
PQ1.1.4		Government-Owned Entity	PQ	Evaluated	Pass/fail	-	-		-	All Projects	the SPDs issued by a relevant IFI	
PQ1.1.5		United Nations resolution or Borrower's country law	PQ	Evaluated	Pass/fail	-	-		-	All Projects	the SPDs issued by a relevant IFI	
PQ1.2	<b>Historical Contract Non-Performance</b>		<b>PQ</b>	<b>Evaluated</b>	<b>Pass/fail</b>	-	-		-	<b>All Projects</b>	<b>PQ1.2_Form CON</b>	The appropriate Form shall be selected depending on the IFIs requirements and provisions of the applicable Procurement Policies and Rules. In case of doubts, the template provided in the WB standard bidding documents may be consulted
PQ1.2.1		History of Non-Performing Contracts	PQ	Evaluated	Pass/fail	-	-		-	All Projects	the SPDs issued by a relevant IFI	
PQ1.2.2		Suspension Based on Execution of Bid Securing Declaration by the Employer	PQ	Evaluated	Pass/fail	-	-		-	All Projects	the SPDs issued by a relevant IFI	
PQ1.2.3		Pending Litigation and Arbitration	PQ	Evaluated	Pass/fail	-	-		-	All Projects	the SPDs issued by a relevant IFI	
PQ1.2.4		Litigation History	PQ	Evaluated	Pass/fail	-	-		-	All Projects	the SPDs issued by a relevant IFI	
PQ1.2.5		Environmental and Social (ES) past performance	PQ	Evaluated	Pass/fail	-	-		-	All Projects	the SPDs issued by a relevant IFI	
PQ1.2.6		SEA and/or SH Disqualification	PQ	Evaluated	Pass/fail	-	-		-	All Projects	the SPDs issued by a relevant IFI	
<b>PQ1.3</b>	<b>Financial Situation and Resources</b>		<b>PQ</b>	<b>Evaluated</b>	<b>Pass/fail</b>	-	-		-		<b>PQ1.3_Form FIN</b>	The appropriate Form shall be selected depending on the IFIs requirements and provisions of the applicable Procurement Policies and Rules. In case of doubts, the template provided in the KfW standard bidding documents may be consulted
PQ1.3.1		Historical Financial Performance	PQ	Evaluated	Pass/fail	-	-		-	All Projects	the SPDs issued by a relevant IFI	
PQ1.3.2		Average Annual Construction Turnover	PQ	Evaluated	Pass/fail	-	-		-	All Projects	the SPDs issued by a relevant IFI	
PQ1.3.3		Liquidity	PQ	Evaluated	Pass/fail	-	-		-	All Projects	the SPDs issued by a relevant IFI	
PQ1.3.4		Other Sources of Finance	PQ	Evaluated	Pass/fail	-	-		-	All Projects	the SPDs issued by a relevant IFI	
<b>PQ1.4</b>	<b>Experience</b>		<b>PQ</b>	<b>Evaluated</b>	<b>Pass/fail</b>	-	-		-		<b>PQ1.4_Form EXP</b>	The appropriate Form shall be selected depending on the IFIs requirements and provisions of the applicable Procurement Policies and Rules. In case of doubts, the template provided in the KfW standard bidding documents may be consulted
PQ1.4.1		General Construction Experience	PQ	Evaluated	Pass/fail	-	-		-	All Projects	the SPDs issued by a relevant IFI	
PQ1.4.2		Specific Contract Management Experience	PQ	Evaluated	Pass/fail	-	-		-	All Projects	the SPDs issued by a relevant IFI	
PQ1.4.3		Specific Construction Experience	PQ	Evaluated	Pass/fail	-	-		-	All Projects	the SPDs issued by a relevant IFI	
PQ1.4.4		Experience in key construction activities	PQ	Evaluated	Pass/fail	-	-		-	All Projects	the SPDs issued by a relevant IFI	
PQ1.4.4		Specific Experience in managing Projects with significant ESHS Impact	PQ	Evaluated	Pass/fail	-	-		-	All Projects	<b>PQ1.4.4_Form ESHS EXP</b> Experience in Projects with significant ESHS Impact	
<b>PQ1.5</b>	<b>ILO Core Labor Standards</b>	<b>Adherence to the ILO Core Labor Standards</b>	<b>PQ/ QTS</b>	<b>Evaluated</b>	<b>Pass/fail</b>	-	-		-	<b>All Projects</b>	<b>The SPQ documents issued by the KfW</b>	The Bidder shall demonstrate that the business activities are built with adherence to the ILO Core Labor Standards
<b>PQ2</b>	<b>Certifications</b>		<b>PQ</b>	<b>Available</b>	<b>Pass/fail</b>	-	-		-			To be certified by a recognised International Organisation
PQ2.1		Quality Management certificate ISO 9001	PQ	Available	Pass/fail	-	-		-	All Projects	<b>PQ2.1_Certificat-9001-Model</b>	<a href="http://www.iso.org/standard/70397.html">www.iso.org/standard/70397.html</a>
PQ2.2		Environmental management certificate ISO 14001	PQ	Available	Pass/fail	-	-		-	All Projects	Model of certification	<a href="http://www.iso.org/iso-14001-environmental-management.html">www.iso.org/iso-14001-environmental-management.html</a>
PQ2.3		Health and Safety certificate ISO 45001	PQ	Available	Pass/fail	-	-		-	All Projects	Model of certification	<a href="http://www.iso.org/iso-45001-occupational-health-and-safety.html">www.iso.org/iso-45001-occupational-health-and-safety.html</a>
PQ2.4		Ethics ISO 37001	PQ	Available	Pass/fail	-	-		-	All Projects	Model of certification	<a href="http://www.iso.org/iso-37001-anti-bribery-management.html">www.iso.org/iso-37001-anti-bribery-management.html</a>
PQ2.5		Energy management ISO 50001	PQ	Available	Pass/fail	-	-		-	All Projects	Model of certification	<a href="http://www.iso.org/iso-50001-energy-management.html">www.iso.org/iso-50001-energy-management.html</a>
PQ2.6		Collaborative Relationships ISO 44001	PQ	Available	Pass/fail	-	-		-	All Projects	Model of certification	<a href="http://www.iso.org/standard/72798.html">www.iso.org/standard/72798.html</a>

## Quality criteria

	Criteria	Sub criteria	Range of application	Method of assessment	Result	Mini	Maxi		Recommended	Application	Available templates	General Comments
		<b>Overall Weighting</b>				<b>20</b>	<b>40</b>		<b>35</b>			A higher Quality criteria ratio, i.e., 40:30:30 to 20:40:40, allows the Contracting Authority to place more weight on quality rather than on Technical and Sustainability criteria in order to highlight to the bidders the importance of the quality and keep their focus on the other criteria. Recommended for the projects with the high cost of a quality drop (Hydropower, WWTP, etc.)
<b>Q1</b>	<b>Project Implementation Plan</b>		<b>QTS</b>	<b>Scored</b>	<b>Weighting</b>	<b>15</b>	<b>25</b>		<b>8</b>	<b>All Projects</b>		<b>The bidder shall demonstrate implementation of the comprehensive approach to the project management based on the PMI or ISO 21500 standards. Involvement of the PMP certified experts is mandatory.</b> <a href="https://www.pmi.org/">https://www.pmi.org/</a> <a href="https://www.iso.org/standard/75704.html">https://www.iso.org/standard/75704.html</a>
Q1.1.1		Project Management	QTS	Scored	Weighting	4	8		3	All Projects	<b>Q1.1.1 Project Management</b> (Example of Content)	The bidder shall demonstrate arrangements on the effective risk management based on ISO 31000 standards <a href="https://www.iso.org/iso-31000-risk-management.html">https://www.iso.org/iso-31000-risk-management.html</a>
Q1.1.2		Risk Management	QTS	Scored	Weighting	3	4		3	All Projects	<b>Q1.1.2 Risk Management</b> (Example of Content)	The bidder shall demonstrate use of industry-recognized software for the financial management in construction (for example Archdesk)
Q1.1.3		Financial Management	QTS	Scored	Weighting	2	4		2	All Projects	<b>Q1.1.3 Financial Management</b> (Example of Content)	The bidder shall demonstrate his approach to efficient supply chain management based on the Chartered Institute of Purchasing and Supply (CIPS) standards. Involvement of the CIPS (or similar) certified experts is mandatory <a href="https://www.cips.org/">https://www.cips.org/</a>
Q1.1.4		Procurement Management	QTS	Scored	Weighting	2	3		2	All Projects	<b>Q1.1.4 Procurement Management</b> (Example of Content)	The bidder shall demonstrate his approach to managing stakeholders' expectations in an effective and efficient manner.
Q1.1.5		Stakeholders Management	QTS	Scored	Weighting	2	3		1	All Projects	<b>Q1.1.5 Stakeholders Management</b> (Example of Content)	The bidder shall demonstrate his approach to ensuring mobilization the of qualified experts and skilled workers with adherence to the ILO Core Labor standards and requirements of the MDBs. It shall cover the entire contract period and stipulates the provisions of the staff replacement. Involvement of the SHRM (or similar) certified experts is mandatory. <a href="https://www.shrm.org/pages/default.aspx">https://www.shrm.org/pages/default.aspx</a>
Q1.1.6		Human resources management	QTS	Scored	Weighting	1	2		1	All Projects	<b>Q1.1.6 Human resources management</b> (Example of Content)	The bidder shall demonstrate use of industry-recognized product life-cycle management software for the exchange and storage of all project documents (for example Lascom)
Q1.1.7		Project management tools proposed by the Contractor (methodology, software etc.)	QTS	Scored	Weighting	1	1		1	All Projects	<b>No specific format</b>	The bidder shall demonstrate use of industry-recognized product life-cycle management software for the exchange and storage of all project documents (for example Lascom)
<b>Q2</b>	<b>Quality Assurance Plan</b>		<b>QTS</b>	<b>Scored</b>	<b>Weighting</b>	<b>5</b>	<b>15</b>		<b>15</b>		<b>Q2 Quality Assurance Plan</b> (Example of Content)	
		Planning of quality assurance	QTS	Scored	Weighting	3	5		5	All Projects	No specific format	
		Quality Control	QTS	Scored	Weighting	1	7		7	All Projects	No specific format	The bidder shall demonstrate his approach to the integration of the ISO 9001 methodology over the construction process
		Quality improvement process	QTS	Scored	Weighting	1	3		3	All Projects	No specific format	The bidder shall demonstrate his approach to the integration of the ISO 9001 methodology over the construction process

## Technical criteria

	Criteria	Sub criteria	Range of application	Method of assessment	Result	Mini	Maxi		Recommended	Application	Available templates	General Comments
	<b>Technical criteria</b>	<b>Overall Weighting</b>				<b>30</b>	<b>40</b>		<b>30</b>			A higher Technical criteria ratio, i.e., 20:50:30 40:20:40, allows the Contracting Authority to place more weight on technical rather than on Quality and Sustainability criteria in order to highlight to the bidders the importance of the technical aspects and keep their focus on the other criteria. Recommended for projects with low requirements for sustainability and quality (roads and pipelines)
<b>T1</b>	<b>Site Organization</b>		<b>QTS</b>	<b>Scored</b>	<b>Weighting</b>	<b>6</b>	<b>10</b>		<b>6</b>		<b>T1 Site Organization (Example of Content)</b>	<b>The Site Organization shall demonstrate the adequacy of the Bidder's approach to the site management and organization</b>
T1.1		Site layout	QTS	Scored	Weighting	1	3		1	All Projects		
T1.2		Adequacy of the proposed site organization to the construction schedule	QTS	Scored	Weighting	1	3		1	All Projects		
T1.3		Car movement schemes, storage, securities points, facilities for the Contractor's and Employer's personnel	QTS	Scored	Weighting	1	1		1	All Projects		
T1.4		Location of equipment warehouse	QTS	Scored	Weighting	1	1		1	All Projects		
T1.5		Location of bulk materials warehouses	QTS	Scored	Weighting	1	1		1	Linear projects		
T1.6		Adequacy of location first aid and fire securities points	QTS	Scored	Weighting	1	1		1	All Projects		
<b>T2</b>	<b>Method Statement</b>		<b>QTS</b>	<b>Scored</b>	<b>Weighting</b>	<b>8</b>	<b>10</b>		<b>15</b>		<b>T2 Method Statement (Example of Content)</b>	
T2.1			QTS	Scored	Weighting	2	2		3	All Projects		The method statement covers the main topics of the construction organisation
T2.2		Completeness	QTS	Scored	Weighting	4	5		8	All Projects		The method statement includes all of the key work activities as listed in the bidding documents
T2.3		Relevancy	QTS	Scored	Weighting	2	3		4	All Projects		Relevancy. The methodology shall be tailored to the particular project needs (construction schedule, geotechnical conditions, proposed technology, etc.)
<b>T3</b>	<b>Mobilization Schedule</b>		<b>QTS</b>	<b>Scored</b>	<b>Weighting</b>	<b>2</b>	<b>5</b>		<b>4</b>	<b>All Projects</b>	<b>T3 Mobilization Schedule (Sample)</b>	<b>The mobilization schedule demonstrates the adequacy of the Bidder's approach to the timely mobilization of the Contractor's Personnel, Plant, and Equipment in order to ensure adherence to the scheduled construction activities.</b>
<b>T4</b>	<b>Construction Schedule</b>		<b>QTS</b>	<b>Scored</b>	<b>Weighting</b>	<b>4</b>	<b>15</b>		<b>5</b>	<b>All Projects</b>	<b>T4 Construction Schedule (Example of Content)</b>	<b>The preliminary working programme reflects all the key Contractor's activities (mobilization, design, group of works, commissioning, taking over and Defect Notification Period), contract milestones etc. The critical path is shown. The industry-recognized software (Primavera) is applied.</b>
<b>T5</b>	<b>Key Equipment</b>		<b>QTS</b>	<b>Available</b>	<b>Pass/fail</b>	<b>-</b>	<b>-</b>		<b>-</b>		<b>T5 Key Equipment (Example of Form)</b>	
T5.1		Availability of the Key Plant and Equipment	QTS	Available	Pass/fail	-	-		-	All Projects	the SPDs issued by a relevant IFI	The list of the key plant and equipment shall specify the required productivity level which complies with the construction schedule
T5.2		Evidence of the availability of the Key Plant and Equipment	QTS	Available	Pass/fail	-	-		-	All Projects	No specific format	To be provided with evidence of the ownership, leasing agreement, and renting agreement provided to the particular bidding with the obligations to ensure availability of the rented plant, machinery, and/or equipment up to the completion of the contract
<b>T6</b>	<b>Manufacturer's authorisation</b>		<b>QTS</b>	<b>Available</b>	<b>Pass/fail</b>	<b>-</b>	<b>-</b>		<b>-</b>		<b>T6 Manufacturer's authorisation Form (Example of Form)</b>	
T6.1		Manufacturer's authorisation statement	QTS	Available	Pass/fail	-	-		-	Hydropower, Solar, etc.	the SPDs issued by a relevant IFI	
T6.2		Availability of the Service Centres in the region	QTS	Available	Pass/fail	-	-		-			For projects where the equipment constitutes an important factor in the project's success and the service agreements to be established
T6.3		Extended warranty provisions										Desirable criteria which may be prioritized by the Contracting Authority by applying the weighting factor
<b>T7</b>	<b>Key Personnel</b>		<b>QTS</b>	<b>Available</b>	<b>Pass/fail</b>	<b>-</b>	<b>-</b>		<b>-</b>		<b>T7 Key Personnel Form (Example of Form)</b>	
T7.1		Suitable basic education	QTS	Available	Pass/fail	-	-		-	All Projects	the SPDs issued by a relevant IFI	Compliance with the requested requirements for the certification and membership and providing copies of the valid certificates or other evidence
T7.2		Experience	QTS	Available	Pass/fail	-	-		-	All Projects	the SPDs issued by a relevant IFI	Compliance with the requested number of years to be demonstrated in similar projects in similar positions and justified by the reference letters
T7.3		Professional certificates and memberships	QTS	Available	Pass/fail	-	-		-	All Projects	the SPDs issued by a relevant IFI	

## Sustainability criteria

	Criteria	Sub criteria	Range of application	Method of assessment	Result	Mini	Maxi		Recommended	Application	Available templates	General Comments
	<b>Sustainability criteria</b>	<b>Overall Weighting</b>				<b>30</b>	<b>50</b>		<b>34</b>			
<b>S1</b>		<b>Environmental</b>	<b>QTS</b>	<b>Scored</b>	<b>Weighting</b>	<b>7</b>	<b>20</b>		<b>15</b>	<b>All Projects</b>		
S1.1		Environmental Management System	QTS	Available	Pass/fail	-	-		-	All Projects		
S1.2		Implementation of the Environmental Management Plan	QTS	Available	Weighting	3	8		5	All Projects	<b>S1.2. Environmental Management Plan (Example of Content)</b>	
S1.3		Greenhouse Gas accounting	QTS	Available	Weighting	2	4		3	All Projects	International Standard ISO 21500 / GHG protocol standards	"The bidder shall demonstrate implementation of the comprehensive approach to the project management based on the PMI or ISO 21500 standards. Involvement of the PMP certified experts is mandatory. <a href="https://www.wbcsd.org/Programs/Climate-and-Energy/Climate/Resources/A-corporate-reporting-and-accounting-standard-revised-edition">https://www.wbcsd.org/Programs/Climate-and-Energy/Climate/Resources/A-corporate-reporting-and-accounting-standard-revised-edition</a> <a href="https://www.iso.org/standard/75704.html">https://www.iso.org/standard/75704.html</a> "
S1.4		Waste Management	QTS	Available	Weighting	2	2		2	All Projects	Calculations to be done	
S1.5		Eco-design	QTS	Available	Weighting	0	4		3	All Projects	Calculations to be done	
<b>S2</b>		<b>Social</b>	<b>QTS</b>	<b>Scored</b>	<b>Weighting</b>	<b>7</b>	<b>14</b>		<b>9</b>	<b>All Projects</b>		
S2.1		Implementation of the Social Management Plan	QTS	Available	Weighting	3	6		4	All Projects	<b>S2.1 Social Management Plan (Example of Content)</b>	"The bidder shall demonstrate implementation of the comprehensive approach to the project management based on the PMI or ISO 21500 standards. Involvement of the PMP certified experts is mandatory. <a href="https://www.pmi.org/">https://www.pmi.org/</a> <a href="https://www.iso.org/standard/75704.html">https://www.iso.org/standard/75704.html</a> "
S2.2		Relocation Action Plan contribution	QTS	Available	Weighting	2	3		2	All Projects	the STDs issued by a relevant IFI	This document depends on the considered project.
S2.3		Local commitments to community	QTS	Available	Weighting	2	5		3	All Projects	the STDs issued by a relevant IFI	This document depends on the considered project.
S2.4		Knowledge transfer / capacity building	QTS	Available	Weighting	1	1		1	All Projects	the STDs issued by a relevant IFI	This document depends on the considered project.
<b>S3</b>	<b>Health and Safety</b>	<b>Occupational Health and Safety Management Systems</b>	<b>QTS</b>	<b>Available</b>	<b>Pass/fail</b>	<b>-</b>	<b>-</b>		<b>-</b>	<b>All Projects</b>	<b>International ISO 45001:2018</b>	<b><a href="https://www.iso.org/standard/63787.html">https://www.iso.org/standard/63787.html</a></b>
<b>S4</b>	<b>Ethics</b>	<b>Code of Conduct for Contractor's Personnel (ES)</b>	<b>QTS</b>	<b>Available</b>	<b>Pass/fail</b>	<b>-</b>	<b>-</b>		<b>-</b>	<b>All Projects</b>	<b>UN's Sustainable Development Goals (SDGs)</b>	<b>This document depends on the considered project.</b>
<b>S5</b>	<b>Local Content</b>	<b>Localization of the construction process</b>	<b>QTS</b>	<b>Scored</b>	<b>Weighting</b>	<b>7</b>	<b>10</b>		<b>10</b>	<b>All Projects</b>	<b>No specific format</b>	<b>The bidder shall demonstrate the commitments in the bid</b>

## Appendix 2

## QUALIFICATION CRITERIA IN THE DETAILS

Criteria		
No.	Subject	Comments to the Requirement
<b>PQ1.1 Eligibility</b>		
The eligibility criteria are clearly defined in the guidance on the preparation of the bidding documents, applied to all projects financed by the specific MDB, and generally do not require additional input from the Borrower.		
PQ1.1.1	Nationality	Works are eligible for MDB financing regardless of the country of origin of the Contractors, except where an international embargo or sanction by the United Nations, the European Union or the Borrower's Government applies. Some MDBs do not accept the limitations imposed by the local authorities in the Borrower's country as a valid eligibility criterion. In this case the Borrower should study the possibility of the Contractor obtaining the local permits for the performance of the Works. The eligibility criterion shall apply to the Bidder, all JVCA members, subcontractors and suppliers that are supposed to be involved in the execution of the contract.
PQ1.1.2	Conflict of Interest	The criterion shall prevent any situation in which a Bidder has interests that could improperly influence its performance of official duties or responsibilities, contractual obligations, or compliance with applicable laws and regulations.
PQ1.1.3	Bank's Eligibility	The criterion establishes specific provisions for eligibility in accordance with the applicable policies and rules of the MDB that financed the project. It refers to the mandatory application of the MDB's policies for the prevention of fraud, corruption, money laundering and financing of terrorism and may refer to the cross-debarment applied under an agreement between the different IFIs.
PQ1.1.4	Government-Owned Entity	The possibility of entering into a contract with a Government-Owned Entity as well as eligibility requirements varies for different MDBs. Our recommendation is to not allow foreign Government-Owned Entities to participate in large infrastructure construction projects in other countries. As found in many cases, such cooperation can have a negative impact on competition, the local market and the final quality of the completed Works. Moreover, some extremely negative cases of political pressure have taken place.
PQ1.1.3	United Nations resolution or Borrower's country law	The criterion establishes specific provisions for eligibility in accordance with the United Nations resolution. Any restrictions introduced in the applicable local law shall be considered.
<b>PQ 1.2 Past Performance</b>		
The standard bidding documents provided by the MDBs usually include guidance on establishing the Past Performance criteria. In general, only minor tailoring in amending these criteria is required from the Borrower.		
PQ1.2.1	History of Non-Performing Contracts	Termination of a contract that did not occur as a result of Contractor's default in the past five years.
PQ1.2.2	Suspension Based on Execution of Bid Securing Declaration by the Employer	Not under suspension based on execution of a Bid Securing Declaration.
PQ1.2.3	Pending Litigation and Arbitration	All pending litigation and arbitration shall in total not represent more than thirty percent of the Applicant's net worth and shall be treated as resolved against the Applicant.

PQ1.2.4	Environmental and Social (ES) past performance	The Applicant shall declare any civil work contracts that have been suspended or terminated and/or performance security called by an employer for reasons of breach of environmental, or social (including Sexual Exploitation and Abuse) contractual obligations in the past five years.
PQ1.2.5	SEA and/or SH Disqualification	At the time of Prequalification, the Applicant shall not be disqualified by any MDB for non-compliance with SEA/SH obligations.
<b>PQ1.3 Financial Positions</b>		
The general approach for establishing the financial stability criteria is presented in the MDBs guidance on the preparation of the bidding documents and generally require only minor tailoring by the Borrower		
PQ1.3.1	Historical Financial Performance	The Applicant shall provide the audited balance sheets for the last five years and must demonstrate the current soundness of the Applicant's financial position based on the following criteria: Liquidity ratio $\geq 1.1$ (Current Assets)/(Current Liabilities) $\geq 1.1$ Indebtedness ratio $\leq 80\%$ (Total Liabilities*10)/(Total Assets) $\leq 80\%$
PQ1.3.2	Average Annual Construction Turnover	Minimum annual construction turnover of [insert amount in EUR equivalent in words and figures], for the last five years, calculated as total certified annual payments received for contracts in progress and/or completed. The amount stated should normally not be less than two times the annualised value of the subject contract expressed as $2 \times V/T$ ; where V is the Borrower's estimated cost (including contingencies), T is the contract duration in years. The multiplier of 2 may be reduced for very large contracts but should not be less than 1.5.
PQ1.3.3	Liquidity	The Applicant shall demonstrate that they have access to, or have available, liquid assets (unencumbered real assets, lines of credit and other financial means (independent of any contractual advance payment) sufficient to meet the construction cash flow requirements estimated as EUR [insert amount equivalent to a number between 2 and 4 of anticipated monthly payment certificates in EUR] for the subject contract(s) net of the Applicant's other commitments.
PQ1.3.4	Other Sources of Finance	The Applicant shall also demonstrate, to the satisfaction of the Borrower, that it has adequate sources of finance to meet the cash flow requirements on works currently in progress and for future contract commitments.
<b>PQ1.4 Experience</b>		
The experience criteria are of the most important for the selection of firms that can demonstrate sufficient capacity for the successful completion of the contract. The general approach for establishing these criteria is presented in the MDBs guidance on the preparation of the bidding documents. It is highly recommended to involve an experienced procurement consultant in developing the criteria and conducting a stress test on the drafted criteria with an assessment of the potential market response.		
PQ1.4.1	General Construction Experience	Experience under construction contracts in the role of prime contractor, JV member, subcontractor, or management contractor for at least the last five years without any interruptions.
PQ1.4.2	Specific Contract Management Experience	A minimum number of two construction contracts specified below that have been satisfactorily completed as a prime contractor, joint venture leader or management contractor in the past five years: Two contracts, each of minimum value V [not less than 75 percent of the estimated cost of the contract to be undertaken]. Note: In particular cases, the management experience in 'similar contracts' should be considered only, however, the introduction of such requirements shall be determined depending on the maturity of the market and competition level.

PQ1.4.3	Specific Construction Experience	A minimum number of similar contracts specified below that have been satisfactorily and substantially completed as a prime contractor, joint venture member or management contractor in the past five years: N contracts [generally not less than 2], each of minimum value V [not less than 60 percent of the estimated cost of the contract to be undertaken].  Note: It is highly recommended to provide a detailed description of the "similar" contracts, which shall not be restrictive, but relevant to the physical size, complexity and technicity of the contract to be undertaken.
<b>PQ1.5 ILO Core Labour Standards</b>		The adherence of the Bidder's business organisation to the principles of the ILO Core Labour Standards shall be verified. The supporting documents proving the relevant internal policies are to be provided by the Bidders.
<b>PQ2 Certifications</b>		
<b>PQ2.1</b>	<b>Quality Management certificate ISO 9001</b>	The Bidder shall provide a copy of the valid certificate.
<b>PQ2.2</b>	<b>Environmental management certificate ISO 14001</b>	The Bidder shall provide a copy of the valid certificate.
<b>PQ2.3</b>	<b>Health and Safety certificate ISO 45001</b>	The Bidder shall provide a copy of the valid certificate.
<b>PQ2.4</b>	<b>Ethics ISO 37001</b>	The Bidder shall provide a copy of the valid certificate.
<b>PQ2.5</b>	<b>Energy management ISO 50001</b>	The Bidder shall provide a copy of the valid certificate.
<b>PQ2.6</b>	<b>Collaborative Relationships ISO 44001</b>	The Bidder shall provide a copy of the valid certificate.



**The JVCA Lead Partner must meet at least 40% of the requirements.**

**Each of the JVCA partners must meet at least 25% of the requirements.**

**Consider only the Applicant's share, by value, scope and nature of work for evaluation purposes.**

**Accept subcontracting experience for all experience criteria except the Managing Experience and the core activities of the Specific Experience.**

**Define the list of the supporting documents which will be accepted as evidence of the claimed Experience.**



**It is recommended to specify in the bidding documents the provisions for the evaluation of the subcontractors that are planned to be involved in the execution of the work with an estimated value of more than 10% of the bidding contract price and the specific works (list of specific works where Bidders are allowed to propose subcontractors shall be clearly stated in the bidding documents).**



**Forbid the Bidders to refer to the Parent's Companies' Credentials in order to meet the qualification requirements.**

**Reject the application if the level of the confirmed commitments to be carried out in parallel with the contract to be undertaken exceeds the Bidder's annual turnover for the previous year by a factor of 1.2 to 1.8.**

**Do not take into account the subcontractors' experience for the purpose of the Prequalification.**

## Appendix 3

## SCOPE OF THE PROJECT IMPLEMENTATION PLAN

The suggested scope of the Project Implementation Plan is presented below. This common structure shall be applied by all Bidders to allow an easier and more efficient evaluation.

**The contents of the Project Implementation Plan shall be adapted to the project and each context based on the following:**

1. Occupational Health and Safety (OHS) Management
2. Contract Management
3. Project Integration Management
4. Stakeholders Management
5. Project Content Management
6. Deadlines Management
7. Project Costs Management
8. Quality Management
9. Project Resource Management
10. Communications Management
11. Risks Management
12. Environment Management
13. Sustainable Development Management
14. BIM Management
15. Business Ethics Management

According to the complexity of the project, their issues and context, the bidding documents shall specify any particular plans (one per item) or a global plan with specific parts or chapters.

For example, the item 1 – OHS refers to a range of disciplines with the purpose of eradicating or reducing certain harmful effects of work on the human being and their environment.

The aim of OHS management is to integrate, at project level, the requirements of labour laws (according to the country of the project) and ISO 45001.

**The OHS management of the project can be broken down into three macro-processes:**

- Planning its implementation.
- Leading the approach in the project team.
- Measuring the effects and performance achievement.
- The Bidders shall be requested to present the following:
  - A commitment by management to meet the provisions of its policies, objectives and targets.
  - Emphasis placed on prevention.
  - A Project Manager who places importance on OHS issues and compliance with OHS requirements.
  - The management system that includes continuous improvement activities.

Another example, item 3 – Project Integration Management means combining, consolidating and coordinating all the activities and processes that make up a project throughout its life cycle.

It includes project management activities as well as all the tasks involved in producing the project deliverables. Integrating processes, coordinating activities

and leading the project team are the core responsibilities of the Project Manager and the Project Management Team.

**They include, in particular, the following tasks:**

- Listening to the Borrowers' needs:
  - though the Borrowers' initial objectives are known and stipulated in the contract, they are never set in stone.
  - if the Borrower wants to change something, the contractor will have to fulfil this need (while protecting their own interests).
- Organising the successful completion of the project, at the start and throughout its duration.
- Leading the project team, in both management and production, coordinating everyone's work.
- Ensuring that the organisation is efficient and managing any changes.
- Controlling in a coherent and interdependent manner all the management processes needed (not only those involved in production) to meet the objectives of the Borrowers.

**The Managing Project Integration process shall be broken down into the following macro-processes:**

- Project Manager's engagement.
- Developing the Project Management Plan.
- Leading, monitoring and controlling the execution of the project.
- Managing project changes.
- Closing the project.

If needed, all the items of the Project Implementation Plan shall be detailed in this document.

Appendix 4

## SCOPE OF THE QUALITY ASSURANCE PLAN

**As a minimum, the Quality Assurance Plan shall cover the following:**

- a) Cover the relevant stages of the Works (e.g.: design, procurement, manufacture, construction, installation, testing and commissioning, defect notification period).
- b) Define the hierarchy of the Quality Assurance Programmes documentation.
- c) Include a Schedule of Planned Project Analyses, such as Project Review Seminars, Reviews, Engineer's Review, Employer's Review, Cost Optimisation Seminars, Constructive Seminars, etc.
- d) Describe the relationships and activities of the Contractor and the various Subcontractors/Suppliers, including the provision of organisation charts.
- e) Include the Matrix of activity, responsibility and procedures.
- f) Comply with the Standard ISO 21500 and apply Plan, Do, Check, Act approach of EN ISO 9001
- g) Determine the certification method for installation records and records of transfer (e.g., by area, system, type, etc.).
- h) Determine the Contractor's system for quality management of Suppliers and Subcontractors.
- i) Indicate when (schedule of audit) the external inspections by the third parties, as well as partnering companies will be conducted as required by the Employer and others.
- j) Define comprehensive procedures for the quality system audit, including the preparation of audit reports.
- k) Establish the procedures for correction of non-compliances determined during the site visits and internal/external audits.
- l) Determine periodic inspections of the management system (at least once a year).
- m) Define the procedures of Contract finalisation that require review and inspection of records by Contractor's Quality Manager.
- n) Define the results evaluation processes at the project checkpoints to ensure the completion of the results obtained from each phase and required to start the next phase.
- o) Determine the practices of the project's constant improvement.
- p) Define Key Project Indicators related to quality (KPIs).
- q) Indicate which Subcontractors'/Suppliers' documents are subject to Engineer's review and approval, ideally to ensure impartiality contract two different engineers for design and implementation.

Appendix 5

DETAILED BREAKDOWN OF THE UNIT PRICE

**Form for Detailed Breakdown of Cost Comparison**

Project Name: \_\_\_\_\_

Contract Description: \_\_\_\_\_

Item no.	Description	Unit	Nominal Quantity	Rate	Total Amount
Breakdown for Item No. _____					
Description	Unit	Nominal Quantity	Rate	Amount	
Labor	1.				
	2.				
	etc.				
	Total for Labor				
Materials	1.				
	2.				
	etc.				
	Total for Materials				
Equipment	1.				
	2.				
	etc.				
	Total for Equipment				
Site Overheads	1.				
	2.				
	etc.				
	Total for Site Overheads				
Headquarters Overheads	1.				
	2.				
	etc.				
	Total for Headquarters Overheads				
Profit					
Taxes					
Total Amount					
Total Unit Rate					

Source: Asian Development Bank.

Appendix 6

EXAMPLE OF THE BID EVALUATION

The example in this appendix illustrates the evaluation of the quality, technical and sustainability aspects of bids as well as the determination of the successful bid proposal based on the MEAT approach for One-Stage Two-Envelope procurement after Prequalification.

**Introduction:**

Five Bidders demonstrated their compliance with the qualification criteria on a Pass/Fail basis and successfully passed the Prequalification for procurement of the construction of 62 km of a new railway line with an estimated budget of 530m EUR under the design provided by the Employer while the Contractor has to provide a turn-key solution for the signalling system.

The price-technical ratio is 80:20.

**Details of the Evaluation Methodology as per Bidding Documents:**

The criteria presented below have been defined by the Contracting Authority in the bidding documents with the minimum threshold of 70% for each of the QTS Blocks and overall minimum threshold of 80%.

Block 1

Item #	Criteria	Sub Criteria	Range of application	Assessment Method	Result	Recommendation
<b>Quality criteria</b>		<b>Overall Weighting</b>				<b>35</b>
<b>Q1</b>	<b>Project Implementation Plan</b>		<b>QTS</b>	<b>Scored</b>	<b>Weighting</b>	<b>20</b>
Q1.1.1		Project Management	QTS	Scored	Weighting	8
Q1.1.2		Risk Management	QTS	Scored	Weighting	3
Q1.1.3		Financial Management	QTS	Scored	Weighting	3
Q1.1.4		Procurement Management	QTS	Scored	Weighting	2
Q1.1.5		Stakeholders Management	QTS	Scored	Weighting	2
Q1.1.6		Human resources management	QTS	Scored	Weighting	1
Q1.1.7		Project management tools proposed by the Contractor (methodology, software etc.)	QTS	Scored	Weighting	1
<b>Q2</b>	<b>Quality Assurance Plan</b>		<b>QTS</b>	<b>Scored</b>	<b>Weighting</b>	<b>15</b>
		Planning of quality assurance	QTS	Scored	Weighting	5
		Quality Control	QTS	Scored	Weighting	7
		Quality improvement process	QTS	Scored	Weighting	3

Block 2

Item #	Criteria	Sub criteria	Range of application	Assessment Method	Result	Recommended
<b>Technical criteria</b>		<b>Overall Weighting</b>				<b>35</b>
<b>T1</b>	<b>Site Organization</b>		<b>QTS</b>	<b>Scored</b>	<b>Weighting</b>	<b>6</b>
T1.1		Site layout	QTS	Scored	Weighting	1
T1.2		Adequacy of the proposed site organization to the construction schedule	QTS	Scored	Weighting	1
T1.3		Car movement schemes, storage, securities points, facilities for the Contractor's and Employer's personnel	QTS	Scored	Weighting	1
T1.4		Location of equipment warehouse	QTS	Scored	Weighting	1
T1.5		Location of bulk materials warehouses	QTS	Scored	Weighting	1
T1.6		Adequacy of location first aid and fire securities points	QTS	Scored	Weighting	1
<b>T2</b>	<b>Method Statement</b>		<b>QTS</b>	<b>Scored</b>	<b>Weighting</b>	<b>20</b>
T2.1		Overall approach	QTS	Scored	Weighting	5
T2.2		Completeness	QTS	Scored	Weighting	10
T2.3		Relevancy	QTS	Scored	Weighting	5
<b>T3</b>	<b>Mobilization Schedule</b>		<b>QTS</b>	<b>Scored</b>	<b>Weighting</b>	<b>4</b>
<b>T4</b>	<b>Construction Schedule</b>		<b>QTS</b>	<b>Scored</b>	<b>Weighting</b>	<b>5</b>
<b>T5</b>	<b>Key Equipment</b>		<b>QTS</b>	<b>Available</b>	<b>Pass/fail</b>	<b>-</b>
T5.1		Availability of the Key Plant and Equipment	QTS	Available	Pass/fail	-
T5.2		Evidence of the availability of the Key Plant and Equipment	QTS	Available	Pass/fail	-
<b>T6</b>	<b>Manufacturer's authorisation</b>		<b>QTS / PQ</b>	<b>Available</b>	<b>Pass/fail</b>	<b>-</b>
T6.1		Manufacturer's autorisation statement	QTS / PQ	Available	Pass/fail	-
T6.2		Availability of the Service Centres in the region	QTS / PQ	Available	Pass/fail	-
T6.3		Extended warranty provisions	QTS / PQ	Available	Pass/fail	-
<b>T7</b>	<b>Key Personnel</b>		<b>QTS / PQ</b>	<b>Available</b>	<b>Pass/fail</b>	<b>-</b>
T7.1		Sutable basic education	QTS / PQ	Available	Pass/fail	-
T7.2		Experience	QTS / PQ	Available	Pass/fail	-
T7.3		Professional certificates and memberships	QTS / PQ	Available	Pass/fail	-

Block 3

Item #	Criteria	Sub criteria	Range of application	Assessment Method	Result	Recommended
<b>Sustainability criteria</b>		<b>Overall Weighting</b>				<b>30</b>
<b>S1</b>	<b>Environmental</b>		<b>QTS</b>	<b>Scored</b>	<b>Weighting</b>	<b>12</b>
S1.1		Implementation of the Environmental Management Plan	QTS	Available	Weighting	5
S1.3		Sustainable and renewable energy	QTS	Available	Weighting	2
S1.4		Waste Management	QTS	Available	Weighting	2
S1.5		Eco-design	QTS	Available	Weighting	3
<b>S2</b>	<b>Social</b>		<b>QTS</b>	<b>Scored</b>	<b>Weighting</b>	<b>8</b>
S2.1		Implementation of the Social Management Plan	QTS	Available	Weighting	4
S2.3		Local commitments to community	QTS	Available	Weighting	3
S2.4		Knowledge transfer / capacity building	QTS	Available	Weighting	1
<b>S3</b>	<b>Ethics</b>	Code of Conduct for Contractor's Personnel (ES)	QTS	Available	Pass/fail	-
<b>S4</b>	<b>Local content</b>		<b>QTS</b>	<b>Scored</b>	<b>Weighting</b>	<b>10</b>
S4.1		Subcontracting from the local market	QTS	Scored	Weighting	6
S4.2		Procurement of the equipment and materials from the local manufacturers	QTS	Scored	Weighting	3
S4.3		Procurement of raw materials from the local market	QTS	Scored	Weighting	1
<b>TOTAL for Blocks 1-3</b>						<b>100</b>

**Technical Evaluation (Step 2 of SOP):**

The criteria presented below have been defined by the Contracting Authority in the bidding documents with the minimum threshold of 70% for each of the Quality, Technical and Sustainability Blocks and an overall minimum threshold of 80%.

The members of the Bid Evaluation Committee individually evaluated the technical bids by applying the following methodology for the scoring:

- 100% – SIGNIFICANTLY EXCEEDS THE REQUIREMENTS
- 85% – MARGINALLY EXCEEDS THE REQUIREMENTS
- 70% – SATISFIES THE REQUIREMENTS
- 50% – MOSTLY MEETS THE REQUIREMENT BUT FAILS IN PARTS
- 25% – SIGNIFICANTLY BELOW THE REQUIREMENTS
- 0% – TOTALLY FAILS TO MEET ANY OF THE REQUIREMENTS OR FAILS TO PROVIDE A RESPONSE

The cumulative outcomes of the QTS evaluation conducted by the Bid Evaluation Committee are presented below:

Block 1

	Share	Score	Bidder A		Bidder B		Bidder C		Bidder E		Bidder F	
			Scores	Status								
<b>Min Threshold (Q)=</b>	<b>70%</b>	<b>24.50</b>	<b>24.8</b>		<b>25.45</b>		<b>27.3</b>		<b>29.25</b>		<b>30.75</b>	
			<b>16.05</b>		<b>14.95</b>		<b>16.00</b>		<b>17.75</b>		<b>17.75</b>	
			5.50		6.40		7.00		7.50		7.50	
			2.25		2.80		2.50		2.75		2.50	
			3.00		1.00		1.50		2.50		2.50	
			1.75		1.50		1.50		1.80		1.80	
			1.80	<b>passed</b>	1.50	<b>passed</b>	1.50	<b>passed</b>	1.70	<b>passed</b>	1.70	<b>passed</b>
			0.75		0.75		1.00		0.50		0.75	
			1.00		1.00		1.00		1.00		1.00	
			<b>8.75</b>		<b>10.50</b>		<b>11.30</b>		<b>11.50</b>		<b>13.00</b>	
			4.25		4.50		3.80		4.00		4.50	
			3.50		4.00		5.00		5.00		6.00	
			1.00		2.00		2.50		2.50		2.50	

Block 2

	Share	Score	Bidder A		Bidder B		Bidder C		Bidder E		Bidder F	
			Scores	Status	Scores	Status	Scores	Status	Scores	Status	Scores	Status
<b>Min Threshold (T)=</b>	<b>70%</b>	<b>24.50</b>	<b>24.5</b>		<b>29.95</b>		<b>33.5</b>		<b>27.1</b>		<b>33.5</b>	
			<b>4.5</b>		<b>5.2</b>		<b>6</b>		<b>3.6</b>		<b>6</b>	
			0.7		0.9		1		0.5		1	
			1		0.9		1		0.5		1	
			0.7		0.85		1		0.5		1	
			0.7		0.85		1		0.7		1	
			0.7		0.85		1		0.7		1	
			<b>12</b>		<b>17</b>		<b>19</b>		<b>16</b>		<b>18.5</b>	
			3		4.5		5		4		5	
			5		8		9		8		9	
			4	<b>passed</b>	4.5	<b>passed</b>	5	<b>passed</b>	4	<b>passed</b>	4.5	<b>passed</b>
			<b>3.5</b>		<b>3.75</b>		<b>3.5</b>		<b>3.5</b>		<b>4</b>	
			<b>4.5</b>		<b>4</b>		<b>5</b>		<b>4</b>		<b>5</b>	
			<b>Pass</b>		<b>Pass</b>		<b>Pass</b>		<b>Pass</b>		<b>Pass</b>	
			Pass		Pass		Pass		Pass		Pass	
			Pass		Pass		Pass		Pass		Pass	
			<b>Pass</b>		<b>Pass</b>		<b>Pass</b>		<b>Pass</b>		<b>Pass</b>	
			Pass		Pass		Pass		Pass		Pass	
			Pass		Pass		Pass		Pass		Pass	
			<b>Pass</b>		<b>Pass</b>		<b>Pass</b>		<b>Pass</b>		<b>Pass</b>	
			Pass		Pass		Pass		Pass		Pass	
			Pass		Pass		Pass		Pass		Pass	
			<b>Pass</b>		<b>Pass</b>		<b>Pass</b>		<b>Pass</b>		<b>Pass</b>	
			Pass		Pass		Pass		Pass		Pass	
			Pass		Pass		Pass		Pass		Pass	

Block 3

			Bidder A		Bidder B		Bidder C		Bidder E		Bidder F	
			Scores	Status	Scores	Status	Scores	Status	Scores	Status	Scores	Status
	Share	Score	Sustainability criteria									
Min Threshold (S)=	70%	21.00	21.8		16.6	failed	25.55		23.9		24.2	
			7.3	passed	9.6	failed	9.3	passed	9.9	passed	9.2	passed
			3		4		4.5		4.5		3.8	
			1.5		1.8		1.8		1.9		1.7	
			1.8		1.8		1.5		1		1.5	
			1		2		1.5		2.5		2.2	
			6.75	passed	5	failed	6.75	passed	6.75	passed	6	passed
			3.5		3		3.5		3.5		3	
			2.5		1.5		2.5		2.5		2	
			0.75		0.5		0.75		0.75		1	
			Pass		Pass		Pass		Pass		Pass	
			7.75		2		9.5		7.25		9	
			4.5		1		5.5		4.5		5.5	
			2.5		0.5		3		2		2.5	
			0.75		0.5		1		0.75		1	

Outcomes of the QTS Evaluation:

			Bidder A		Bidder B		Bidder C		Bidder E		Bidder F	
			Scores	Status								
Min TOTAL Threshold (QTS)=	80%	80	71.1	failed	n/a	failed	86.35	passed	80.25	passed	88.45	passed

Comments:

- a) Bidder B failed to demonstrate compliance with the Sustainability requirements and shall be rejected.
- b) Bidder A demonstrated compliance with the minimum thresholds defined for each of the QTS blocks, but failed to pass the minimum threshold defined for the Technical part of the bidding documents. Therefore, Bidder A shall be also rejected.

Financial Evaluation (Step 3 of SOP):

The envelopes with the financial proposals from Bidders A and B shall be returned unopened to these Bidders.

The Read-Out Bid Prices are presented below:

Employer's estimation	Bidder A	Bidder B	Bidder C	Bidder E	Bidder F
530 000.00 €	returned unopened	returned unopened	550 000.00 €	543 000.00 €	515 000.00 €

In the course of evaluating the adequacy of the financial bids, the Bid Evaluation Committee discovered that the unit prices for the work items offered by Bidder F (as presented below) are abnormally low prices in comparison to the preliminary unit price estimation by the Contracting Authority and offered by other Bidders:

- CS-X-124: "Cleavage and side borrow excavation, transportation and storage of Type A Soil (storage locations belong to the contractor)" for the amount of 43 000 000 m<sup>3</sup>; and
- CS-X-126: "Cleavage and side borrow excavation, transportation and storage of Type B Soil (storage locations belong to the contractor)" for the amount of 26 000 000 m<sup>3</sup>.

Acting according to the provisions of the bidding documents, the Bid Evaluation Committee supported by a certified Quantity Surveyor adjusted the unit prices for these two work items and determined the Adjusted Bid Prices for further evaluation.

Adjusted Bid Price	Bidder A	Bidder B	Bidder C	Bidder E	Bidder F
	n/a	n/a	550 000.00 €	543 000.00 €	560 000.00 €

**MEAT Evaluation (Step 4 of SOP):**

By applying the pre-defined financial-technical ratio (80:20) and the formula for determination of the MEAT, the Bid Evaluation Committee concluded that the contract shall be awarded to Bidder C.

Description	Data	Bidder A	Bidder B	Bidder C	Bidder E	Bidder F
Ratio QTS	0.20					
Ratio FIN	0.80					
Price Low	543 000.00 €	rejected	rejected	0.99	1.00	0.97
QTS high	88.45			0.98	0.91	1.00
<b>MEAT</b>		<b>rejected</b>	<b>rejected</b>	<b>0.985</b>	<b>0.981</b>	<b>0.976</b>

## Appendix 7

**KEY PERSONNEL****i****For further information**

The managerial and technical competence of a Bidder is primarily related to its key personnel on-site. The extent to which the Bidder should demonstrate having staff with extensive experience should be limited to those requiring critical operational or technical skills. The criteria should therefore refer to a limited number of key personnel – for instance, the project manager, superintendents, chief designer, etc. The Bidder must prove his/her technical competence and capability (through experts in the company or through cooperation with external specialists):

- Effective protection of flora and fauna in the construction area and vicinity (if building is done in an ecologically sensitive area).
- Measures to secure hazardous waste and substances that can have a negative impact on the area.
- Environmental management measures to minimize the occurrence of waste on the construction site, compliance with noise regulations and avoidance of traffic disruption.
- Measures to ensure energy efficiency and low water consumption.

Bidders should normally be required to name a principal candidate and an alternate for each key position. Criteria of acceptability should be based on:

- An academic degree.
- Availability of the specific certificates and membership in the specialized associations.
- A minimum number of years of experience in a similar position.
- A minimum number of years of experience and/or a number of comparable projects carried out in a specified number of preceding years.

The requirements for the prime and alternate positions should be the same.

The applicants shall be asked to submit concise CVs of the principal candidates and alternates.

It may be appropriate to specify that certain positions are filled by individuals, who have held posts of comparable authority for, say, three years with the Bidder, so as to ensure that key staff, in executive site positions, have sufficient knowledge of the bidder's management, policy, procedures and practices to act with confidence and authority within that framework.



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