

ROADS & TRANSPORT AUTHORITY
ROUTE 2020
Design & Construction
Prequalification Documents



route2020
Consultancy Services for
EXPO 2020
إكسبو 2020

Route 2020 – Prequalification Documentation	
PREQUALIFICATION PART 2 RFQ APPLICATION FORMS	
Document Number	28/04/2015
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Route 2020 Prequalification Application Forms

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Application Submission Sheet

Date: **(insert day, month, year)**
RFQ/IFQ No **(insert RFQ/IFQ number)**

To: ROADS & TRANSPORT AUTHORITY

We, the undersigned, apply to be prequalified for the referenced Project Implementation as named in Part 1, Section A – Instructions to Applicants paragraph 2 and declare that:

We have examined and have no reservations to the Prequalification Document, including Addenda N° **(insert the number and issuing date of each addenda)** issued in accordance with Part 1, Section A – Instructions to Applicants paragraph 8:

_____;

We, including any subcontractors or suppliers for any part of the contract subject to this prequalification do not have any conflict of interest, in accordance with Part 1, Section A – Instructions to Applicants paragraph 5.2;

We, including any subcontractors or suppliers for any part of the contract subject to this prequalification, have not been declared ineligible under the Client's country laws or official regulations, in accordance with Part 1, Section A – Instructions to Applicants paragraph 5;

We, in accordance with Part 1, Section A – Instructions to Applicants paragraph 23, plan to subcontract the following key activities and/or parts of the works:_____ **(insert any of the key activities identified in Form 4.2b which the Applicant intends to subcontract)**

We understand that you may cancel the prequalification process at any time and that you are neither bound to accept any application that you may receive nor to invite the prequalified applicants to bid for the contract subject of this prequalification, without incurring any liability to the Applicants, in accordance with Part 1, Section A – Instructions to Applicants paragraph 25.

Signed ____ **(insert signature of person whose name and capacity are shown below)** _____

Name _____ **(insert full name of person)** _____,

In the Capacity of ____ **(insert legal capacity of person signing the application)** _____,

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

Applicant's Legal Name _____ **(insert full name of Applicant)** _____

Address _____ **(insert street number/town or city/country address)** _____

Dated on ____ (insert day number) day of ____ (insert month)____, ____ (insert year)____.

Form 1: Applicant Information Sheet

Date: [insert day, month, year]
RFQ/IFQ No.: [insert Invitation for Prequalification number]
Page [insert page number] of [insert total number] pages

Applicant's legal name: ____[insert full legal name]____
In case of Consortium / Joint Venture, legal name of each party: ____[insert full legal name of each party in Consortium / Joint Venture] ____
Applicant's Actual or Intended country of constitution: ____[indicate country of Constitution]____
Applicant's actual or Intended year of constitution: ____[indicate year of Constitution]____
Applicant's legal address in country of constitution: ____[insert street/ number/ town or city/ country]____
Applicant's authorized representative information Name: ____[insert full legal name]____ Address: ____[insert street/ number/ town or city/ country]____ Telephone/Fax numbers: [insert telephone/fax numbers, including country and city codes] E-mail address: ____[indicate e-mail address]____
Name and address of Bankers of the Applicant: Name: ____[insert full legal name]____ Address: ____[insert street/ number/ town or city/ country]____ Name of the Person the Client may contact: ____[insert full name]____
Attached are copies of original documents of: Articles of Incorporation or Documents of Constitution of the legal entity named above, in accordance with Part 1, Section A – Instructions to Applicants paragraph 5.1 and 5.2. In case of Consortium / Joint Venture, letter of intent to form Consortium / Joint Venture or Consortium / Joint Venture agreement, in accordance with Part 1, Section A – Instructions to Applicants paragraph 5.1.

Form 2: Applicant Information Sheet**For each Consortium / Joint Venture Party****And/or Subcontractor as per Part 1, Section A – Instructions to Applicants paragraph 23.2**

Date: [insert day, month, year]
 RFQ/IFQ No.: [insert Invitation for Prequalification number]
 Page [insert page number] of [insert total number] pages

Each Applicant that is a Consortium / Joint Venture Party and each Subcontractor in key activity must submit this information.

Consortium / Joint Venture applicant legal name: ____ [insert full legal name] ____
Consortium / Joint Venture's party/Subcontractor's legal name: ____ [insert full legal name of Consortium / Joint Venture party or Subcontractor] ____
Consortium / Joint Venture's party/Subcontractor's country of registration: ____ [indicate country of registration] ____
Consortium / Joint Venture's party/Subcontractor's year of constitution: ____ [indicate year of constitution] ____
Legal name of the Company leading the Consortium/Joint Venture: ____ [insert full legal name of the Company leading the Consortium / Joint Venture] ____
Consortium / Joint Venture's party/Subcontractor's legal address in country of constitution: ____ [insert street/ number/ town or city/ country] ____
Consortium / Joint Venture's party authorized representative information Name: ____ [insert full legal name] ____ Address: ____ [insert street/ number/ town or city/ country] ____ Telephone/Fax numbers: [insert telephone/fax numbers, including country and city codes] E-mail address: [indicate e-mail address]
Attached are copies of original documents of: Articles of Incorporation or Documents of Constitution of the legal entity named above, in accordance with Part 1, Section A– Instructions to Applicants paragraph 5.1 and 5.2.

Form 3.1: Financial Situation General Status

Applicant's Legal Name: [insert full name] Date: [insert day, month, year]
 Consortium / Joint Venture Party Legal Name: [insert full name] RFQ/IFQ No.: [insert Invitation for Prequalification number]

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

To be completed by the Applicant and, if Consortium / Joint Venture, by each party

Financial information in AED equivalent	Historic information for previous [insert in words and figures] () years (AED equivalent in 000s)				
	Year 2010	Year 2011	Year 2012	Year 2013	Year 2014
Information from Balance Sheet					
Total Assets (TA)					
Total Liabilities (TL)					
Net Worth (NW)					
Current Assets (CA)					
Current Liabilities (CL)					
Information from Income Statement					
Total Revenue (TR)					
Profits Before Taxes (PBT)					

Note: All figures should be expressed in **AED** considering the exchange rates at the date of launching the prequalification i.e. **6th May, 2015** as published by National Bank of Dubai, average of Cash Sell Rate and Cash Buy Rate.

Financial statements (balance sheets, including all related notes, and income statements) for the years required above complying with the following conditions:

- Must reflect the financial situation of the Applicant or party to a Consortium / Joint Venture and parent companies.
- Historic financial statements must be audited and certified by a certified accountant.
- Historic financial statements must be complete, including all notes to the financial statements.
- Historic financial statements must correspond to accounting periods already completed and audited (no statements for partial periods shall be requested or accepted).

Provide the name and address of Bankers from whom references can be obtained.

Form 3.2: Average Annual Construction Turnover

Applicant's Legal Name: [insert full name]

Date: [insert day, month, year]

Consortium / Joint Venture Party Legal Name: [insert full name]
for Prequalification number]

RFQ/IFQ No.: [insert Invitation

Subcontractor's Legal Name: [insert full name]

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

Annual turnover data (construction only)		
Year	Amount and Currency	AED equivalent
[indicate year] _____	[insert amount and indicate currency] _____	[insert amount in AED equiv.] _____
- Home		
- Abroad		
- U.A.E.		
[indicate year] _____	[insert amount and indicate currency] _____	[insert amount in AED equiv.] _____
- Home		
- Abroad		
- U.A.E.		
	_____	_____
	_____	_____
	_____	_____
Average Annual Construction Turnover (*)	_____	_____

* Average annual construction turnover calculated as total certified payments received for work in progress or completed, divided by the number of years specified in Part 1, Section C, Prequalification Criteria, Sub-Factor 2.2.

Note: All figures should be expressed in **AED** considering the exchange rates at the date of launching the prequalification i.e. **6th May, 2015** as published by National Bank of Dubai, average of Cash Sell Rate and Cash Buy Rate.

Form 4.1: General Construction Experience

Applicant's Legal Name: [insert full name]

Date: [insert day, month, year]

Consortium / Joint Venture Party Legal Name: [insert full name]
for Prequalification number]

RFQ/IFQ No.: [insert Invitation

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

Identify contracts that demonstrate continuous construction work in accordance with Part 1, Section C, Prequalification Criteria Sub-Factor 3.1.1. and 3.2.1

Note: These information have to be given for at least the last Ten (10) years.

Starting Month / Year (*)	Ending Month / Year	Contract Identification	Role of Applicant
[indicate month/ year] _____	[indicate month/ year] _____	Contract name: [insert full name] Brief Description of the Works performed by the Applicant: [describe works performed briefly] Name of Client: [indicate full name] Address: [indicate street/number/town or city/country address]	[indicate whether as Contractor, Subcontractor, or Contract Manager] _____
_____	_____	Contract name: Brief Description of the Works performed by the Applicant: Name of Client: Address:	_____
_____	_____	Contract name: Brief Description of the Works performed by the Applicant: Name of Client: Address:	_____
_____	_____	Contract name: Brief Description of the Works performed by the Applicant: Name of Client: Address:	_____
_____	_____	Contract name: Brief Description of the Works performed by the Applicant: Name of Client: Address:	_____

(*) List calendar year for years starting with the earliest year

Form 4.2(a): Specific Construction Experience

Applicant's Legal Name: [insert full name]
 Consortium / Joint Venture Party Name: [insert full name]
 for Prequalification number]

Date: [insert day, month, year]
 RFQ/IFQ No.: [insert Invitation

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

Note: These information have to be given for at least the last Ten (10) years.

Similar Contract No. ___[insert specific number]___	Information		
Contract Identification	_[insert contract name and number, if applicable]_		
Award date	_[insert day, month, year]_		
Completion date	_[insert day, month, year]_		
Role in Contract [check the appropriate box]	Contractor <input type="checkbox"/>	Management Contractor <input type="checkbox"/>	Subcontractor <input type="checkbox"/>
Total Contract Amount	[insert total contract amount in local currency]___		AED ___[insert total contract amount in AED equivalent]
If party in a Consortium / Joint Venture or subcontractor, specify participation of total contract amount	[insert a percentage amount] _____	[insert total contract amount in local currency] _____	[insert total contract amount in AED equivalent] _____

Note: All figures should be expressed in **AED** considering the exchange rates at the date of launching the prequalification i.e. **6th May, 2015** as published by National Bank of Dubai, average of Cash Sell Rate and Cash Buy Rate.

Form 4.2 (a) (cont.) Specific Construction Experience (cont.)

Applicant's Legal Name: [insert full name] Page [insert page number] of [insert total number] pages

Consortium / Joint Venture Party Legal Name: [insert full name]

Note: These information have to be given for at least the last Ten (10) years.

Similar Contract No. ___[insert specific number]___	Information
Description of the similarity in accordance with Sub-Factor 4.2(a) of Section C:	
1. Amount	___[insert amount in AED in words and in figures]___
2. Physical size	___[insert physical size of activities]___
3. Complexity	___[insert description of complexity]___
4. Methods/Technology	___[insert specific aspects of the methods/technology involved in the contract]___
5. Other Characteristics	___[insert other characteristics as described in Part 1, Section D, Description of Works]___
6. Contract Performance <ul style="list-style-type: none"> • On time Completion • Number of major and serious incidents during construction • Minimum disturbance to surrounding during construction • Quality of the works during the first years of operation such as water tightness, crack on structure, etc... • Innovative ideas, if any, resulting in cost reductions 	___[insert contract performance information supported by Statements certified by the Owner]___

Note: All figures should be expressed in **AED** considering the exchange rates at the date of launching the prequalification i.e. **6th May, 2015** as published by National Bank of Dubai, average of Cash Sell Rate and Cash Buy Rate.

Form 4.2 (b): Construction Experience in Key Activities

Applicant's Legal Name: [insert full name]

Date: [insert day, month, year]

Consortium / Joint Venture Party Name: [insert full name]
for Prequalification number]

RFQ/IFQ No.: [insert Invitation

Subcontractor's Legal Name (as per Part 1, Section A– Instructions to Applicants paragraph 23.2):
[insert full name]

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

All Subcontractors for key activities must complete the information in this form as per Part 1, Section A – Instructions to Applicants paragraph 23.2 and Part 1, Section C, Prequalification Criteria, Sub-Factor 3.1.2. and 3.2.2.

Note: These information have to be given for at least the last Ten (10) years.

	Information		
Contract Identification	[insert contract name and number, if applicable]		
Award date	[insert day, month, year]		
Completion date	[insert day, month, year]		
Role in Contract [check the appropriate box]	Contractor <input type="checkbox"/>	Management Contractor <input type="checkbox"/>	Subcontractor <input type="checkbox"/>
Total Contract Amount	[insert total contract amount in local currency]		[insert total contract amount in AED equivalent]
If party in a Consortium / Joint Venture, specify participation of total contract amount	[insert a percentage amount]	[insert total contract amount in local currency]	[insert total contract amount in AED equivalent]
Client's Name:	[insert full name]		
Address:	[indicate street / number / town or city / country]		
Telephone/fax number	[insert telephone/fax numbers, including country and city area codes]		
E-mail:	[insert e-mail address, if available]		

Note: All figures should be expressed in **AED** considering the exchange rates at the date of launching the prequalification i.e. **6th May, 2015** as published by National Bank of Dubai, average of Cash Sell Rate and Cash Buy Rate.

Form 4.2 (b) (cont.) Construction Experience in Key Activities

Applicant's Legal Name: **[insert full name]** Page **[insert page number]** of **[insert total number]** pages

Consortium / Joint Venture Party Legal Name: **[insert full name]**

Subcontractor's Legal Name (as per Part 1, Section A – Instructions to Applicants paragraph 23.2): **[insert full name]**

Note: These information have to be given for at least the last Ten (10) years.

	Information
Description of the key activities in accordance with Sub-Factor 3.1.2 of Section C:	
	<i>__[insert response to inquiry indicated in left column]__</i>

Form 4.3: Resources - Personnel

Applicant's Legal Name: [insert full name]

Date: [insert day, month, year]

Consortium / Joint Venture Party Legal Name: [insert full name]
for Prequalification number]

RFQ/IFQ No.: [insert Invitation

Subcontractor's Legal Name: [insert full name]

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

1 - Number of Staff : (indicate number)

Technical : (indicate number)

Administrative : (indicate number)

2 – Please list all Present Executive Directors :

Name	Position	Years with Company	Years in Field
(indicate name)	(indicate position)	(indicate number)	(indicate number)

Form 4.3 (cont.) Resources - Personnel

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

3 - List of information about other key personnel below:

1. Name : Position :

Years of Experience - with the Company :

- in this Field :

Major works for which responsible (type and value) :

Linguistic ability relevant to the project :

2. Name : Position :

Years of Experience - with the Company :

- in this Field :

Major works for which responsible (type and value) :

Linguistic ability relevant to the project :

Form 4.3 (cont.) Resources - Personnel

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

<p>3. Name :</p> <p>Years of Experience - with the Company :</p> <p>- in this Field :</p> <p>Major works for which responsible (type and value) :</p> <p>Linguistic ability relevant to the project :</p>	<p>Position :</p>
<p>4. Name :</p> <p>Years of Experience - with the Company :</p> <p>- in this Field :</p> <p>Major works for which responsible (type and value) :</p> <p>Linguistic ability relevant to the project :</p>	<p>Position :</p>

Form 4.4: Resources - Plant and Equipment

Applicant's Legal Name: [insert full name]

Date: [insert day, month, year]

Consortium / Joint Venture Party Legal Name: [insert full name]
for Prequalification number]

RFQ/IFQ No.: [insert Invitation

Subcontractor's Legal Name: [insert full name]

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

On the basis of the information provided in the prequalification documents indicate the main plant considered necessary by the Company for undertaking the project and whether this plant is already in the Company's ownership or will be purchased or hired:

Form 5: Historical Contract Non-Performance

Applicant's Legal Name: [insert full name]

Date: [insert day, month, year]

Consortium / Joint Venture Party Legal Name: [insert full name]
for Prequalification number]

RFQ/IFQ No.: [insert Invitation

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

Non-Performing Contracts in accordance with Part 1, Section C, Prequalification Criteria			
Contract non-performance did not occur during the stipulated period, in accordance with Sub-Factor 4.1 of Part 1, Section C, Prequalification Criteria.			
Pending Litigation, in accordance with Section III, Prequalification Criteria			
No pending litigation in accordance with Sub-Factor 4.2 of Part 1, Section C, Prequalification Criteria. Pending litigation in accordance with Sub-Factor 4.2 of Part 1, Section C, Prequalification Criteria, as indicated below.			
Year	Outcome as Percent of Total Assets	Contract Identification	Total Contract Amount (current value, AED equivalent)
[insert year] _____	[insert percentage] _____	Contract Identification: [indicate complete contract name/ number and any other identification] Name of Client: [insert full name] Address of Client: [insert street/city/country] Matter in dispute: [indicate main issues in dispute]	[insert amount] _____
_____	_____	Contract Identification: Name of Client: Address of Client: Matter in dispute:	_____
Litigation History			
Attached is a list, as per the attached form 6 Litigation History, reflecting the history of litigation or arbitration over the last ten (10) years.			

Note: All figures should be expressed in **AED** considering the exchange rates at the date of launching the prequalification i.e. **6th May, 2015** as published by National Bank of Dubai, average of Cash Sell Rate and Cash Buy Rate.

Form 6: Litigation History

Name of Applicant or partner of a Consortium / Joint Venture: ____**[insert full name]**_____

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

Applicants, including each of the partners of a Consortium / Joint Venture, shall provide information on any history of litigation or arbitration resulting from contracts executed in the last ten (10) years or currently under execution. A separate sheet should be used for each partner of a Consortium / Joint Venture.

<i>Year</i>	<i>Award FOR or AGAINST Applicant</i>	<i>Name of client, cause of litigation, and matter in dispute</i>	<i>Disputed amount (current value AED equivalent)</i>
[insert year]	[insert FOR or AGAINST]	[insert full name of client] [insert cause of litigation] [insert description of matter in dispute]	[insert disputed amount in current value AED equivalent]

Note: All figures should be expressed in **AED** considering the exchange rates at the date of launching the prequalification i.e. **6th May, 2015** as published by National Bank of Dubai, average of Cash Sell Rate and Cash Buy Rate.

Form 7.1: Financial Situation General Status - Banks

Applicant's Legal Name: [insert full name] Date: [insert day, month, year]
 Consortium / Joint Venture Party Legal Name: [insert full name] RFQ/IFQ No.: [insert Invitation
 for Prequalification number]

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

To be completed by the Applicant bank and, if group of banks, by each party

Financial information in AED equivalent	Historic information for previous [insert in words and figures] () years (AED equivalent in 000s)				
	Year 2010	Year 2011	Year 2012	Year 2013	Year 2014
Information from Balance Sheet					
Total Assets (TA)					
Total Liabilities (TL)					
Net Worth (NW)					
Information from Income Statement					
Total Revenue (TR)					
Profits Before Taxes (PBT)					

Financial statements (balance sheets, including all related notes, and income statements) for the years required above complying with the following conditions:

- Must reflect the financial situation of the Bank supporting the Consortium / Joint Venture, and its parent company.
- Historic financial statements must be audited and certified by a certified accountant.
- Historic financial statements must be complete, including all notes to the financial statements.
- Historic financial statements must correspond to accounting periods already completed and audited (no statements for partial periods shall be requested or accepted).

Note: All figures should be expressed in **AED** considering the exchange rates at the date of launching the prequalification i.e. **6th May, 2015** as published by National Bank of Dubai, average of Cash Sell Rate and Cash Buy Rate.

Form 7.3: General Project Financing Experience

Applicant's Legal Name: [insert full name]

Date: [insert day, month, year]

Consortium / Joint Venture Party Legal Name: [insert full name]
for Prequalification number]

RFQ/IFP No.: [insert Invitation

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

Identify contracts that demonstrate continuous Project Financing activities in accordance with Part 1, Section C, Prequalification Criteria, Sub-Factor 5.1.

Notes:

- These information have to be given for at least the last Five (5) years regarding the Ten most important projects where the Bank was mandated Lead Arranger.
- This Form is to be filled by the Applicant financial institution.

Starting Month / Year (*)	Ending Month / Year	Contract Identification
[indicate month/year] _____	[indicate month/year] _____	Contract name: [insert full name] Brief Description of the Project: [describe Project performed briefly] Name of Client: [indicate full name] Address: [indicate street/number/town or city/country address] Global amount financed by the group of banks: [indicate global amount of the Project] Amount financed by the bank: [indicate the amount directly financed by your company]
		Contract name: Brief Description of the Project: Name of Client: Address: Global amount financed by the group of banks: Amount financed by the bank:

(*) List calendar year for years starting with the earliest year

Note: All figures should be expressed in **AED** considering the exchange rates at the date of launching the prequalification i.e. **6th May, 2015** as published by National Bank of Dubai, average of Cash Sell Rate and Cash Buy Rate.

Form 7.4: Specific Transportation Project Financing Experience

Applicant's Legal Name: [insert full name] Date: [insert day, month, year]
 Consortium / Joint Venture Party Legal Name: [insert full name] RFQ/IFP No.: [insert Invitation
 for Prequalification number]

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

Notes:

- These information have to be given for at least the last Five (5) years.
- This Form is to be filled by the Applicant's financial institution.
- Please fill one form for each Project.

Similar Contract No. ___[insert specific number]___	Information		
Contract Identification	___[insert contract name and number, if applicable]___		
Award date	___[insert day, month, year]___		
Completion date	___[insert day, month, year]___		
Place	___[insert place and country of the Project]___		
Role in Contract [check the appropriate box]	Lead arranger <input type="checkbox"/>	Member <input type="checkbox"/>	
Total Contract Amount	___[insert total contract amount in local currency]___		AED ___[insert total contract amount in AED equivalent]___
If party in a Group of banks specify participation of total contract amount	[insert a percentage amount] _____	[insert total contract amount in local currency] _____	[insert total contract amount in AED equivalent] _____

Note: All figures should be expressed in **AED** considering the exchange rates at the date of launching the prequalification i.e. **6th May, 2015** as published by National Bank of Dubai, average of Cash Sell Rate and Cash Buy Rate.

Form 7.4 (cont.) Specific Transportation Project Financing Experience

Applicant's Legal Name: [insert full name] Page [insert page number] of [insert total number] pages

Consortium / Joint Venture Party Legal Name: [insert full name]

Notes: These information have to be given for at least the last Five (5) years.

This Form is to be filled by the Applicant's financial institution.

Please fill one form for each Project.

Similar Contract No. ___[insert specific number]___	Information
Description of the similarity in accordance with Sub-Factor 5.1(b) of Section C:	
- Amount financed & currency	___[insert amount and the currency]___
- Nature of financing	___[specify Loan, Bonds...]___
- Duration	___[insert duration]___
- Rate	___[insert rate]___
- Guarantees	___[insert type of guarantees]___

Note: All figures should be expressed in **AED** considering the exchange rates at the date of launching the prequalification i.e. **6th May, 2015** as published by National Bank of Dubai, average of Cash Sell Rate and Cash Buy Rate.