

# Rovuma LNG Phase 1 Project

## Upstream

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### Deepwater Valves and Technical Support Services

### Qualification Questionnaire

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**April 5, 2024**

**Rev 0**

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### Definitions

For the purpose of this Qualification Questionnaire the following terms shall have the meaning set forth below. The definitions cover the singular as well as the plural:

- (a) "Company" means the legal entity identified as such in the "Instructions and Disclaimers" section of this Qualification Questionnaire.
- (b) "Company Affiliate" means (i) Mozambique Rovuma Venture S.p.A. ("MRV") and MRV Shareholders; (ii) Exxon Mobil Affiliates; (iii) any company or partnership in which MRV or any parent of MRV (a) owns or (b) controls, directly or indirectly, more than fifty percent (50%) of the ownership interest having the right to vote or appoint its directors or their functional equivalents ("Affiliated Company"); and (iv) any joint venture in which MRV, any parent of MRV, or an Affiliated Company is the operator.
- (c) "Contractor Entity" means the legal entity in the form of a prime contractor or consortium or incorporated joint venture that will submit a formal response to this Qualification Questionnaire hereunder in accordance with this Qualification Questionnaire.
- (d) "ExxonMobil Affiliates" means (i) Exxon Mobil Corporation or any parent of Exxon Mobil Corporation; (ii) any company or partnership in which Exxon Mobil Corporation or any parent of Exxon Mobil Corporation (a) owns or (b) controls, directly or indirectly, more than fifty percent (50%) of the ownership interest having the right to vote or appoint its directors or their functional equivalents ("Affiliated Company"); and (iii) any joint venture in which Exxon Mobil Corporation, any parent of Exxon Mobil Corporation, or an Affiliated Company is the operator.
- (e) "MRV Shareholders" means ExxonMobil Development Africa B.V., Eni S.p.A. and CNODC Dutch Cooperatief U.A.

**Instructions and Disclaimers**

Mozambique Rovuma Venture S.p.A, Mozambique Branch (MRV) (hereinafter referred to as “Company”) is requesting additional information from Contractor Entity in relation to provision of offshore deepwater large-bore gas production Deepwater Valves EPC and Technical Support Services for Installation, Commissioning, Startup, and Life of Field for the Upstream portion of the Mozambique Rovuma LNG Phase 1 project (hereinafter referred to as “Project”) to be located at Afungi Peninsula and offshore Area 4 in Mozambique.

- 1) Company will use the responses provided by Contractor Entity to evaluate, at its sole discretion, whether or not Contractor Entity meets the minimum requirements for this Project.
- 2) Contractor Entity should complete this Qualification Questionnaire by inserting responses in the designated fields and providing attachments as requested. The request to “describe” an item in regard to a specific question is intended to obtain a brief, concise statement. Questions that do not apply to Contractor Entity should be clearly marked as “Not Applicable”.
- 3) **Where Contractor Entity is proposed to be a consortium or incorporated joint venture, this Qualification Questionnaire must be completed on behalf of the consortium or joint venture. Please note, the final date for confirmation of the proposed consortium or incorporated joint venture is the closing date as specified in item 13) below.**
- 4) If any of the information requested in Appendix C has been recently furnished to Company, or any affiliate of Company, and has not changed, such information does not need to be resubmitted. In such case, Contractor Entity should furnish the appropriate contact information (e.g., name of project, name of contact point, etc.) so that the required information can be retrieved or otherwise verified by Company.
- 5) Where additional information is required to complete a response, Contractor Entity should answer each question or item on a separate, attached sheet. The response should restate the specific question or item at the top of the page, including the number of such question or item, followed by Contractor Entity’s response. Responses should be in sequential order, consistent with this Qualification Questionnaire format.
- 6) Contractor Entity should submit a response with the understanding that Company accepts no obligation of confidentiality with respect to any information disclosed to Company during this Qualification Process, unless specifically covered by a separate, written confidentiality agreement between Company and Contractor Entity. By submitting a response, Contractor Entity agrees that it will place no restrictive notices on any document (including drawings) provided as part of this Qualification Questionnaire. Contractor Entity further agrees that if it does place such notices on documents, Company is authorized to remove and/or disregard any such restrictive clauses and shall be free to use and disclose to third parties any or all information contained therein without accounting to the Contractor Entity. Company considers information provided to Contractor Entity in these documents to be proprietary and should be treated as confidential by Contractor Entity.
- 7) Contractor Entity’s completion and submittal of this Qualification Questionnaire, and any participation in this Qualification Process, including any statements whether oral or written between Company and Contractor Entity, shall not create or be deemed or construed in any way so as to create any binding legal relationship or contract between Company and Contractor Entity. Furthermore, such submittals will not guarantee placement on a bid list or

the award of any contract or work. This Qualification Process is for informational purposes only.

- 8) Company reserves the right to reject any and/or all submittals at its sole discretion.
- 9) All costs and expenses incurred by Contractor Entity or any other party participating in this Qualification Process shall not be reimbursed by Company and are solely for Contractor Entity's / other party's account.
- 10) Company reserves the right to contact all references provided by Contractor Entity, visit any Contractor Entity work location, and/or interview any Contractor Entity personnel during this Qualification Process.
- 11) When the term "relevant" is used in this Qualification Questionnaire, Company refers to projects, activities, experience which are comparable to the Rovuma LNG Phase 1 Project. For the purpose of completing this Qualification Questionnaire, relevant is:
  - a. any offshore deepwater large-bore gas production systems (including FEED, Detailed Engineering, Procurement, Construction, Commissioning, and life of field support services) projects where Contractor Entity has played a major role.
  - b. any long-distance subsea large-bore gas tieback projects involving valves being installed across varying terrain and water depths (Onshore, Nearshore, and Deepwater) where Contractor Entity has played a major role.
  - c. any projects executed in remote locations with limited access to existing infrastructure and resources where Contractor Entity has played a major role.
- 12) As part of this process, Contractor Entity shall prepare a company overview presentation that highlights Contractor Entity's experience, capabilities and capacity but focuses on its preliminary execution strategy for this Project, including, where applicable, the organizational structure of consortia or joint venture arrangement. This presentation will be used in engagement meetings to evaluate Contractor Entity's qualification for the Project. For proposed joint venture/consortium, Company's strong preference is that you attend the engagement meetings jointly to ensure that all members of the proposed consortium or incorporated joint venture have a clear understanding of the Project requirements and can contribute to the Project. Particulars of the engagement meetings will be communicated by Company in due course.
- 13) **To be eligible for consideration, the response to the Qualification Questionnaire must be submitted in the Supplier Management Portal <https://prod-moz.daismp.com/> by no later than 5 PM (Maputo Time) on May 17, 2024.**

**Company's Contact Information**

If Contractor Entity has any questions regarding this Qualification Questionnaire provided below, Contractor Entity should contact the following Company representative:

**ExxonMobil Point of Contact 1:**

Name: Nat Kompelien (Procurement Advisor)  
E-mail Address: [Nat.E.Kompelien@exxonmobil.com](mailto:Nat.E.Kompelien@exxonmobil.com)

**ExxonMobil Point of Contact 2:**

Name: Joanne Granier (Contracts Advisor)  
E-mail Address: [Joanne.D.Granier@exxonmobil.com](mailto:Joanne.D.Granier@exxonmobil.com)

**Important Notice****Personal Information**

- 1) Company collects personal information directly from Contractor Entity through this Qualification Questionnaire for offshore deepwater large-bore gas production valve EPC and Technical Support Services Suppliers.
- 2) Company also collects personal information about Contractor Entity's employees, owners, and/or business associates. By completing this Qualification Questionnaire, Contractor Entity consents to the information provided being used by Company for the purposes described below. Contractor Entity should also obtain the written consent of anyone whose information has been included in this Qualification Questionnaire for the use and transfer of such information as appropriate.

**Purposes and Disclosures**

- 1) The information gathered from this Qualification Questionnaire is used by Company for legitimate business purposes and in connection with a potential business relationship with Contractor Entity's company. In particular, this Qualification Questionnaire is used to evaluate potential risks to which Company may be exposed under the U.S. Foreign Corrupt Practices Act (FCPA) and other anti-bribery laws as a result of entering into a commercial relationship with Contractor Entity's company or associated third parties. For this purpose, Company shares Contractor Entity's information with other Company Affiliates if necessary.
- 2) Any Company Affiliate receiving and processing this information is expected to do so consistently with the purposes and disclosures description set out in this notice and will protect such data consistent with applicable policies and laws.
- 3) This processing may occur in another country that may not have been deemed by Contractor Entity's country to provide adequate data privacy protection.

**Contractor Entity's Participation**

- 1) Contractor Entity's participation in this Qualification Process is voluntary.
- 2) By signing the **Consent of Disclosure** page, Contractor Entity declares that it has the proper authority to disclose the relevant information and that Contractor Entity consents to the processing as described above, accepting that such collection, storing, or other processing may be conducted by a third party or may occur in another country.



Mozambique Rovuma Venture

**Consent of Disclosure**

Contractor Entity understands how the personal information provided in response to this Qualification Questionnaire and all attachments thereto will be used and consents to the use, transfer, and disclosure of such information in accordance with the purposes and disclosures described above.

**Signed:** \_\_\_\_\_

**Date:** \_\_\_\_\_

**Name and Title:** \_\_\_\_\_





**Contractor Entity's Contact Information**

**[Note: Where applicable, complete for all members of the consortium or incorporated joint venture.]**

Contact Name, Title: \_\_\_\_\_

Address:

City: \_\_\_\_\_

State or Province: \_\_\_\_\_

Postal Code: \_\_\_\_\_

Country: \_\_\_\_\_

Office Phone Number: \_\_\_\_\_

Facsimile Number: \_\_\_\_\_

Email Address: \_\_\_\_\_

**1. Technical Capabilities**

**1.1. Experience**

**1.1.1.** Using Appendix A (attached), describe up to five relevant offshore deepwater large-bore gas production projects in the oil and gas industry that Contractor Entity has provided valves and technical support services to over the past 10 years, including current work in progress. State previously supplied large bore valves (i.e., 24-in, 16-in, or similar size).

**1.1.2.** Contractor must provide evidence and/or previous experience to demonstrate capability of supplying:

1. 24-in, 22-in, 20-in, 16-in, 10-in, and 8-in valves, HH trim, rated between 5.8 – 10k psi, 2300m water depth, fully qualified per API 6A, 17D, 6DSS and IOGP S-708 standards in the following quantities within 80 weeks of purchase order. Valve quantities and size subject to change.
  - 24-inch 5.8k psi – Quantity = 13
  - 22-inch 7.5k psi – Quantity = TBD
  - 20-inch 7.5k psi – Quantity = TBD
  - 16-inch 10k psi – Quantity = 26
  - 10-inch 10k psi – Quantity = 7
  - 8-inch 10k psi – Quantity = 87

**[Place response here]**

Qualification plan and schedule to meet any gaps above, inclusive and encompassing of both valves and actuators.

**[Place response here]**

**1.1.3.** Describe Contractor Entity's recent experience with providing EPC of large-bore deepwater subsea Isolation valves with 5800 – 10000 psi internal pressure rating and 2300 m water depths and technical support services for projects in locations/countries comparable to this Project location and the Republic of Mozambique. Provide examples of techniques employed to overcome challenges associated with water depth, pressure ratings, permitting, security, design standards, etc.

**[Place response here]**

**1.1.4.** Describe Contractor Entity's recent experience providing technical support services onboard Company other EPC Contractor Construction Vessel, Multi-Purpose Vessel, or Onshore Plant. Provide examples of Contractor Entity's involvement in supporting and providing associated rental tooling/equipment to ensure the integrity of the large bore deep water valves in-country during Testing, Installation, Commissioning, Startup, and Life of Field Support.

**[Place response here]**

- 1.1.5. Identify any lessons learned from similar previous projects' successes and failures and describe how they will be incorporated into the execution strategy for this Project.

[Place response here]

**1.2. Systems, Procedures, and Processes**

- 1.2.1. Where applicable, describe how the consortium or incorporated joint venture plans to integrate systems, procedures, and processes into one cohesive process / team for project execution.

[Place response here]

**1.3. Project Management**

- 1.3.1. Describe Contractor Entity's internal interface management process for EPC and Technical Support Services, including a typical strategy/plan for interfacing with Company's project team.

[Place response here]

- 1.3.2. Describe Contractor Entity's external interface management process for EPC and Technical Support Services, including a strategy/plan for interfacing between the consortium or incorporated joint venture partners and various engineering and EPC subcontractors, host governments, etc.

[Place response here]

**1.4. Quality**

- 1.4.1. Describe how Contractor Entity will develop a project-specific quality plan, including how the plan is adapted to meet project-specific requirements and interface within the consortium or incorporated joint venture, where applicable.

[Place response here]

- 1.4.2. Suppliers to provide data and feedback to demonstrate effectiveness of any third-party inspections of independent certifying bodies.

[Place response here]

**1.5. Execution Planning**

- 1.5.1. Describe how Contractor Entity plans to develop an execution strategy, execution plan, and Work Breakdown Structure (WBS) during EPC.

[Place response here]

**1.5.2.** Describe what systems and processes will be used to provide constructability input into the design, including constructability reviews as well as tracking and closeout of identified actions. Describe what resources would be used to provide input (e.g., constructability and execution reviews, client representatives, present staff, contracted resources, etc.).

**[Place response here]**

**1.5.3.** Describe Contractor Entity's preliminary plan for the project execution planning organization during EPC. Provide roles and responsibilities for key project management, engineering, procurement, manufacturing, and installation support planning project team members.

**[Place response here]**

**1.5.4.** Describe how Contractor Entity intends to address interface planning considering Contractor Entity will interface with multiple internal interfaces (including consortium or incorporated joint venture and subcontractors, where applicable) and external parties (e.g., Company's project management team, the government, etc.) during EPC.

**[Place response here]**

**1.5.5.** Describe any new tools and technologies, including digital, that have been utilized by Contractor Entity during EPC phase to improve productivity and explain their role in achieving the Project's objectives.

**[Place response here]**

**1.5.6.** Describe Contractor Entity's experience with Advanced Work Packaging (AWP).

**[Place response here]**

**1.6. Cost and Schedule Estimating**

**1.6.1.** Describe how Contractor Entity would propose that progress and productivity are measured, weighted, and reported, including (i) physical progress in Contractor Entity's engineering and site offices, and (ii) Contractor Entity's engineering, procurement, and construction, where applicable. Explain how progress and productivity are used to update project schedules.

- Attach an example of a recent progress/productivity measurement report

**[Place response here]**

**1.6.2.** Describe Contractor Entity's system of change management and reporting in Contractor Entity's engineering, procurement, and construction, where applicable. Describe how contract change orders are identified, estimated, logged, and tracked.

**[Place response here]**

**1.7. Procurement Support Services**

- 1.7.1. Describe how Contractor Entity will develop a project-specific procurement plan, including how the plan is adapted to meet Project specific requirements. Briefly describe Contractor Entity's Procurement organization(s) including an outline of how it is expected that responsibilities will be allocated between the members of the consortium or incorporated joint venture, where applicable.

**[Place response here]**

**1.8. SSH&E, Regulatory, and Socioeconomic**

- 1.8.1. Describe major components of Contractor Entity's Safety, Security, Health, and Environment (SSH&E) management program including proactive programs for EPC Services. Provide an explanation of how Contractor Entity's SSH&E program is incorporated into Contractor Entity's engineering designs. Provide attachments for further clarification, as needed.

**[Place response here]**

- 1.8.2. Describe Contractor Entity's safety and health management organization and systems. Specifically describe Contractor Entity's current work practices regarding the assignment of safety advisors and office-competent persons to projects.

**[Place response here]**

- 1.8.3. Describe how Contractor Entity's senior management demonstrates commitment and leadership to safety.

**[Place response here]**

- 1.8.4. Describe Contractor Entity's safety, health, and security planning methodology for the execution phase typically performed during EPC. Include an outline of how it is expected that responsibilities will be allocated between the members of the consortium or incorporated joint venture, and whose systems will be used, where applicable.

**[Place response here]**

- 1.8.5. Does Contractor Entity have an established Security Program?  Yes  No  
If yes, attach a summary of the program, including a list of its major components.

- 1.8.6. Does Contractor Entity have an established set of Security policies,  Yes  No rules, and work practices which is documented and made available to workers, including activity locations and digital/cyber security?  
If yes, attach a list of contents.

- 1.8.7. Does Contractor Entity have established Security roles and responsibilities?  Yes  No  
If yes, attach a copy of roles and responsibilities for the Security program.

- 1.8.8. Describe Contractor Entity's security incident management and investigation procedures. Provide security incident investigations from similar previous projects, if applicable.

**[Place response here]**

- 1.8.9. Does Contractor Entity have an established Threat Level escalation program?  Yes  No

- 1.8.10. Does Contractor Entity have an emergency (security scenario) evacuation procedure?  Yes  No

If yes, attach a copy of the evacuation procedure.

- 1.8.11. Describe Contractor Entity's relationship with local community, Public Affairs and Human Resources representation, and any past incidents.

**[Place response here]**

**1.9. Construction & Construction Equipment**

- 1.9.1. Describe Contractor Entity's manufacturing management program, including how the program interface will work within the consortium or joint venture, where applicable.

**[Place response here]**

- 1.9.2. Describe Contractor Entity's process for ensuring that Engineering / Procurement deliverables are planned and produced/received in a manner that does not result in delays to the Project schedule, including how the process interface within the consortium or joint venture will be managed, where applicable.

**[Place response here]**

- 1.9.3. Describe Contractor Entity's preliminary arrangements for logistics (materials, personnel, consumables) to the Project location, and initial reflections on self-performance vs subcontracting. If subcontracted, please advise how Contractor Entity ensures that subcontractor performs in a manner so as to not impact project schedule.

**[Place response here]**

- 1.9.4. Describe Contractor Entity's strategy to mobilize an experienced workforce (all areas) for this Project (including early works). Include the source, location, and experience of the labor.

**[Place response here]**

**2. Technical Capacity**

**2.1. Ongoing and Anticipated Project Work**

2.1.1. Using Appendix B (attached), list all major ongoing and anticipated projects that this Project will be competing with for resources. Where applicable, complete for all members of the consortium or incorporated joint venture.

**2.2. Organization**

2.2.1. Attach organization charts that indicate all of Contractor Entity’s engineering divisions, companies, and subsidiaries. Indicate which area(s) of Contractor Entity’s organization would likely be utilized to perform this scope of work and attach an example FEED and EPC Services organization chart.

**2.3. Joint Venture / Consortium (if applicable)**

2.3.1. Provide the rationale behind forming a consortium or incorporated joint venture for the Project. Describe the reasons for choosing this business structure and the benefits it brings to the Project.

**[Place response here]**

2.3.2. Attach copy of the Joint Operating Agreement (JOA) governing the relationship among the partners, if it has been executed, or Memorandum of Understanding (MoU) or equivalent. If a JOA/MoU has not yet been executed, provide a status update on its development, including any outstanding issues or challenges that need to be resolved.

**[Place response here]**

2.3.3. Provide the name and legal structure of the consortium or incorporated joint venture and the date when the entity was formed.

**[Place response here]**

2.3.4. Identify the partner that will be in a lead role and represents the consortium or incorporated joint venture for the Project.

**[Place response here]**

2.3.5. Describe the roles and responsibilities among the partners and how they will be allocated.

**[Place response here]**

2.3.6. Describe the proposed consortium’s or incorporated joint venture’s previous experience working together on projects that are similar in scope or complexity to the project. Provide insights on successes and how you managed any issues or challenges that arose during the arrangement.

**[Place response here]**

- 2.3.7. Describe the proposed project approach and methodology of the consortium or incorporated joint venture and how it addresses the Project requirements.

**[Place response here]**

**2.4. Potential Project Offices**

- 2.4.1. In Table 1, describe the location(s) of the office(s) and any support offices that Contractor Entity would propose to use for this Project, including how the work might be divided among the members of any consortium or incorporated joint venture.

- 2.4.2. Provide the names and locations of offices that Contractor Entity would propose to use as High Value Engineering Centers (HVEC).

**[Place response here]**



**Qualification Note: Contractor Entity must identify their Lead Office and any Supporting Office Locations in the table below. Add additional columns or tables as necessary.**

**Table 1: EPC Office Capacity [to be updated]**

Name and Affiliation: _____			
Office/Worksite Location: _____			
	<b>Principal Offices <sup>(1)</sup></b>		
	<b>[Lead Office Location]</b>	<b>[Support Office Location]</b>	<b>[Support Office Location]</b>
<b>EPC Services Breakdown</b>	<i>Indicate total manhours in the applicable boxes below, for each office.</i>		
Project Management			
Discipline Engineering (including Project Design Specification development and Project Design Basis development)			
Computer-Aided Engineering (CAE) Analysis			
Project Team			
Manufacturing			
Global Technical Support Services			
In-Country Technical Support Services			
Purchasing			
Subcontracting			
Manufacturability and Manufacturing Planning			
Logistics Planning			
Execution Planning Studies			
Project Control – Cost Estimating			
Project Control – Schedule			
<b>Total hours for each office location</b>			

**2.5. Safety Statistics**

Contractor Entity should provide the safety performance information requested in **Table 2** only for the last 3 (three) years using the definitions shown. **These statistics should include Contractor Entity's employees and onsite contractors.**

**Table 2: Contractor Entity's Safety Statistics**

Calendar Year	Number of Work Hours	Number of Fatalities	Number of LTI <sup>(1)</sup>	Number of TRI <sup>(2)</sup>	Number of NMI <sup>(3)</sup>

**Notes:**

- 1) A Lost time Injuries (LTI) occurs if a person's condition, resulting from an occupational injury or illness, prevents him or her from performing their normal job description during their next scheduled work shift.
- 2) Total Recordable Incidents (TRI) includes worksite accidents that results in specific medical treatment, loss of consciousness, restriction of work or motion, or transfer to another job. Specific medical treatment includes the following:
  - Treatment of infection:
  - Second- or third-degree burns:
  - Fractures:
  - Application of sutures or other wound closing device:
  - Follow-up medication or treatment after an initial treatment for a minor injury:
  - Admission to a hospital or an equivalent medical facility for treatment:
- 3) A Near Miss Incident (NMI) is an undesirable or unexpected worksite event that could have resulted in an injury, operation incident, or property damage under slightly different conditions of timing, space, position, or sequence of events.

**2.5.1.** Provide information regarding any safety violations Contractor Entity has faced during the last 5 (five) years:

Number of Safety Violations/Fines Contractor Entity has received each year from regulatory agencies	2019	2020	2021	2022	2023

Provide an explanation of each Safety Violation/ Fine listed.

**[Place response here]**

**2.5.2.** Provide historical Security statistics for the past 3 (three) years.

**[Place response here]**



### **3. Financial Capacity**

Contractor Entity must provide its Financial Capacity information by completing the following appendix, where applicable, for all members of the consortium or incorporated joint venture, which is attached to this Qualification Questionnaire:

Appendix C, Financial and Legal Information



Mozambique Rovuma Venture

## Appendices

**Appendix A Relevant Project Experience**

**Qualification Note: Throughout this appendix, Contractor Entity should provide all information requested in the fields below.**

Describe up to five relevant offshore deepwater large-bore gas production systems (including FEED, Detailed Engineering, Procurement, Construction, Commissioning, Startup and life of field support services) projects in the oil and gas industry that Contractor Entity has contracted in a key role over the past 10 years, including current work in progress. Duplicate the below template as needed.

<b>Name of Project:</b>		_____
Contract Award Date:		_____
Client Information:	Name of Client/Owner:	_____
	Client Contact Point:	_____
	Name:	_____
	Title:	_____
	Telephone No.:	_____
	Facsimile No.:	_____
Email Address:		_____
Facility Location:		_____
Contract Type: (Detailed Engineering, EPC, etc.)		_____
Compensation Method: (Lump Sum, Reimbursable Cost, Unit Price, etc.)		_____
Any available metrics on size (e.g., tons, number of modules, number of equipment items, etc.)		_____
		<b>[Place response here]</b>
Contracted Scope of Work: (details of actual work performed, man-hours, etc.)		_____
		<b>[Place response here]</b>



**Appendix B Ongoing and Anticipated Project Work**

**Qualification Note: Throughout this appendix, Contractor Entity should provide all information requested in the fields below.**

Using this form, list all major ongoing and anticipated projects that this Project will be competing with for resources. Duplicate the below template as needed. If multiple office locations are used for a single project, duplicate, and populate a separate template for each office location. If any information is considered confidential, omit the details, and indicate "Confidential" in the appropriate field.

<b>Name of Project:</b>	_____
Contractor Entity's Project Office Location:	_____
Estimated or Actual Contract Award Date:	_____
Estimated Contract Completion Date:	_____
Brief description of project facilities: (technical description, location, greenfield, brownfield, etc.)	
	<b>[Place response here]</b>
Contracted Scope of Work: (Detailed Engineering, EPC, etc.)	
	<b>[Place response here]</b>
	_____
Average and Peak number of engineers/labor staffed:	_____
<b>Total Estimated Manhours:</b>	_____



**Appendix C Financial and Legal Information**

**Qualification Note: Throughout this appendix, Contractor Entity should provide all information requested in the tables and fields below.**

**C.1** Is Contractor Entity owned or controlled by a parent company?  Yes  No

If yes, provide the name and registered location of the parent company:

Full Name of Parent Company: \_\_\_\_\_

Main Office Physical Address \_\_\_\_\_

City \_\_\_\_\_

State or Province \_\_\_\_\_

Postal Code \_\_\_\_\_

Country \_\_\_\_\_

Phone Number \_\_\_\_\_

Fax Number \_\_\_\_\_

Office Website \_\_\_\_\_

Name of primary Contact: \_\_\_\_\_

Street Address  
(if different than above) \_\_\_\_\_

City \_\_\_\_\_

State or Province \_\_\_\_\_

Postal Code \_\_\_\_\_

Country \_\_\_\_\_

Phone Number \_\_\_\_\_

Fax Number \_\_\_\_\_

Email Address \_\_\_\_\_



**C.2** Attach the following items:

- Contractor Entity's Organizational charts that indicate all corporate divisions, companies, and subsidiaries, including organizational relationships (i.e., subcontracted, affiliated, etc.).
- Required certificates/registrations/permits to legally work in Project location(s). If this information is not available, explain Contractor Entity's plan to obtain such information.
- Credit rating for Contractor Entity or parent company as issued by S&P, Moody's, Dun & Bradstreet, and/or equivalent rating agencies.
- Audited financial statements (e.g., balance sheet, income statement, cash flow statements) for the current and past 3 fiscal years. If standalone financial statements are not available, provide a detailed breakdown of Contractor Entity parent company's financial statements for major divisions. Financial statements do not need to be submitted if they are available in the public domain. In such cases, provide the link or location where these can be reviewed.

**C.3** List the primary spoken and written languages used to conduct business by Contractor Entity.

**[Place response here]**

**C.4** Describe any major reorganizations in the past 3 years for Contractor Entity (e.g., merger, acquisitions, change of ownership, etc.), including the rationale and current state of the reorganization.

**[Place response here]**

**C.5** If Contractor Entity is assessed to require additional financial security  Yes  No in relation to the size of the Project, would Contractor Entity or parent company be prepared to provide a bank guarantee? If no, provide the reasons below.

**[Place response here]**

If yes, provide the name and registered location of the bank(s) that would issue the guarantee. The bank must be an internationally recognized, reputable financial institution acceptable to Company that has a credit rating of 'A-' by Standard & Poor's, 'A3' by Moody's, and a minimum short-term rating of 'A-1' by Standard & Poor's and 'P-1' by Moody's

Bank Name: \_\_\_\_\_  
Bank Address: \_\_\_\_\_  
City: \_\_\_\_\_  
State or Province: \_\_\_\_\_  
Postal Code: \_\_\_\_\_

Country: \_\_\_\_\_  
Bank Website Address \_\_\_\_\_  
Email Address: \_\_\_\_\_

- C.6** If unable to provide a bank guarantee from a bank acceptable to Company, would Contractor Entity or its parent company be prepared to secure confirmation of the bank guarantee from an acceptable bank?  Yes  No  
If no, provide the reasons below.

**[Place response here]**

- C.7** Is Contractor Entity currently operating under any form of bankruptcy protection? If yes, describe the background and explain the current situation below.  Yes  No

**[Place response here]**

- C.8** Company's contracting terms and conditions include a provision that holds Contractor Entity and its affiliates fully responsible, without limitation, for losses caused by such party's gross negligence or willful misconduct that is attributable to Contractor Entity's and its affiliates' managerial or senior supervisory personnel. The provision relates to hazard loss and supersedes all other indemnifications/releases provided for in the distribution of risk, release and indemnity section of the contract. Does Contractor Entity agree with this principal? If no, provide the reasons below.  Yes  No

**[Place response here]**

- C.9** Company's contracting terms and conditions also include a provision that holds Contractor Entity and its affiliates fully responsible, without limitation, for all third-party liability based on the negligence on the part of Contractor Entity and its affiliates. Does Contractor Entity agree with this principal? If no, provide the reasons below.  Yes  No

**[Place response here]**

- C.10** Describe Contractor Entity's illegal information brokering policy at a high level. Has anyone associated with Contractor Entity ever been convicted of illegal information brokering?  Yes  No  
If yes, describe, give background, and explain actions taken below.

**[Place response here]**

- C.11** Does Contractor Entity have a policy to address the United States Foreign Corrupt Practices Act (FCPA)? If yes, attach policy.  Yes  No

**C.12** Has anyone associated with Contractor Entity's company ever been  Yes  No convicted of an FCPA violation?

If yes, describe, give background, and explain actions taken below.

**[Place response here]**

**C.13** Describe the Commercial General Liability, Workers Compensation and Employers Liability, and Automobile Liability insurance levels maintained (owned/non-owned) for Contractor Entity below.

**[Place response here]**

**C.14** List any work (recent, ongoing, future/anticipated) that may require further consideration for conflict of interest. If applicable, provide examples or explain the type of conflict of interest indicated below.

**[Place response here]**

**C.15** List any current litigation that Contractor Entity is involved in with Company, any of Company's affiliates, or any other pending litigation that may impact this Project below.

**[Place response here]**