|  |  |  |
| --- | --- | --- |
| **AFRICAN UNION** | http://www.africa-union.org/AU symbols/logo.gif | **UNION AFRICAINE** |
|  | **UNIÃO AFRICANA** |

Department of Infrastructure and Energy

|  |
| --- |
| **GEOTHERMAL RISK MITIGATION FACILITY**  **FOR EASTERN AFRICA (GRMF)**  **Logo Layout-mit Karte innen-ohne Slogan** |
| **Request for Expression of Interest for**  **Surface Studies**  **Annex 2 Submission Form for Expressions of Interest**  **for the Fifth Application Round**  **(Fifth Edition)**  **10 October 2017**  Logo EU-Africa ITF ENProject funded by:  **bmz_c_mKfW_Logo_rgb_CODFID_branding** |
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**Expression of Interest for Financial Support from the   
Geothermal Risk Mitigation Facility (GRMF)**

# Information about the Eligible Entity and the Eligibe Activity

|  | **Explanation** | | | |
| --- | --- | --- | --- | --- |
| Name of the eligible entity |  | | | |
| Type of the eligible entity | Public | Private | | PPP |
| Address of the eligible entity |  | | | |
| Name of eligible entity’s contact person in regard to the Expression of Interest |  | | | |
| Telephone number of the contact person |  | | | |
| Fax number of the contact person |  | | | |
| E-mail address of the contact person |  | | | |
| Name(s) of consortium members (if applicable)[[1]](#footnote-1) |  | | | |
| Eligible Activity  (Infrastructure only in combination with surface study) | Infrastructure | | Surface Study | |
| Country in which proposed project is located |  | | | |
| Name of the project site |  | | | |
| Remarks:  (If application has been made for sites that could be considered connected, provide clear justification on why the sites are considered separate / not connected. Briefly state reasons here and give further details in Chapter 5 – Work Plan) | | | | |

# Information about Concessions, Licences and Permits

|  | **Explanation** | | | | | | | | |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Possession of **Concession or Licence[[2]](#footnote-2)** | Yes | No | | In process of being approved | | | | | Not applicable (public entity) |
| Area designation |  | | | | | | | | |
| Concession/licence granted by which governmental agency |  | | | | | | | | |
| Size of concession/licence in hectares |  | | | | | | | | |
| Concession/licence period | From \_\_\_\_\_(year) to \_\_\_\_\_\_(year) | | | | | | | | |
| Right to extension of primary term | Yes | | | | No | | | | |
| Time period of any extension (number of years) |  | | | | | | | | |
| Possession of **Exploration Authorisation** | Yes | No | | In process of being approved | | | | | Not applicable  (public entity) |
| If yes, please elaborate the type of authorisation |  | | | | | | | | |
| Authorisation granted by which agency |  | | | | | | | | |
| Date of expiration of exploration authorisation |  | | | | | | | | |
|  |  | | | | | | | | |
| Right to extend exploration authorisation | Yes | | | | No | | | | |
| Time period of any extension (number of years) |  | | | | | | | | |
| Exploration authorisation convertible to **production licence** | Yes | | No | | | | Not applicable  (public entity) | | |
| Number of years of production licence |  | | | | | | | | |
| Royalty payment upon production (% gross) |  | | | | | | | | |
| Are an Environmental and Social Inception Report and Stakeholder Engagement Plan as per Applicable Standards (Developer Manual, Chapter 11) and any other E&S documentation as required per national legislation available? | Yes | No | | In process of being approved | | | | | Completion date: |
| If yes, or in progress – specify which of the environmental/social studies you refer to |  | | | | | | | | |
| Governmental agency responsible for review and approval of environmental studies |  | | | | | | | | |
| Has EIS/EIA/ESIA, or others – as required, been approved by responsible agency? | Yes | No | | Under review | | | | Approval date: | |
| Are additional environmental approvals required prior to start of exploration? | Yes | | No | | | Not applicable\*) | | | |
| Are additional environmental approvals required prior to start of drilling? | Yes | | No | | | Not applicable\*) | | | |
| Are additional environmental approvals required prior to start of construction and production? | Yes | | No | | | Not applicable\*) | | | |
| Are the required water rights available? | Yes | | No | | | Not applicable\*) | | | |
| Are the rights to build access roads available? | Yes | | No | | | Not applicable\*) | | | |
| Does responsible regulatory agency have adopted drilling rules and regulations specific to geothermal drilling? | Yes | | No | | | Not applicable\*) | | | |
| Name of regulatory agency having jurisdiction over geothermal drilling |  | | | | | | | | |
| Has a drilling permit been applied for? | Yes | | No | | | | Not applicable\*) | | |
| Has a drilling permit been issued? | Yes | | No | | | | Not applicable\*) | | |
| If not, please insert the date where the drilling permit is expected |  | | | | | | | | |
| Remarks (\*) **provide explanation for every item** marked as “Not applicable” | | | | | | | | | |

# Status of Geological and Geochemical Studies

|  | **Explanation** | | | |
| --- | --- | --- | --- | --- |
| Have tectonic lineament studies been completed in the concession area? | Yes | | No | |
| Do tectonic lineament studies include classical remote sensing techniques (e.g. aerial photographs, digital elevation models)? | Yes | | No | |
| For the following five questions, in case of “Yes”, please state the % of concession/license area covered by the respective studies. |  | % of concession/licence  area covered: | |  |
| Do tectonic lineament studies include high-resolution remote sensing techniques like LiDAR surveys? | Yes |  | | No |
| Do tectonic lineament studies include a soil-gas survey (e.g. Rn, CO2)? | Yes |  | | No |
| Do tectonic lineament studies include kinematic interpretation of structures/lineaments? | Yes |  | | No |
| Do tectonic lineament studies include (passive) micro-seismological measurements? | Yes |  | | No |
| Has field geology been completed in the concession area? | Yes |  | | No |
| Is the geothermal system believed to be driven by a volcanic heat source? | Yes | | No | |
| Specify age and type of youngest volcanism related to the geothermal system (e.g. Holocene trachytic stratovolcano 10800 yr. cal. BP, Lower Pleistocene scoria cone 950 ka etc.), if any. |  | | | |
| Give type of surface manifestations detected (e.g. hot springs, fumaroles, silica sinter, travertine, alteration zones). |  | | | |
| Have geochemical studies been completed in the concession area? | Yes | | No | |
| Does the geochemical study include trace element analysis (e.g. REE) and/or isotope analysis (e.g. 3He/4He)? | Yes | | No | |
| Is the reservoir temperature determined by geothermometry higher than 190°C? | Yes | | No | |
| Give results of relevant and meaningful reservoir temperature estimates of solute, gas and isotope “geo-thermometers” (incl. geo-thermometric method, type and temperature of surface manifestation; e.g. hot spring No1: T measured = 80°C; 230°C [Na/K]; 120°C [K/Mg]; 110°C [silica]; 220°C [Na-K-Ca] etc.). In case of multiple analyses, please give ranges for the individual surface manifestation. |  | | | |
| Does a preliminary three-dimensional conceptual model exist? | Yes | | No | |
| If yes, is it already published? | Yes | | No | |
| If yes, by whom and where is it published? |  | | | |
| Do multiple 2D cross sections exist? | Yes | | No | |
| If yes, are they already published? | Yes | | No | |
| If yes, by whom and where are they published? |  | | | |
| Is the conceptual model or cross sections supported by geophysics? | Yes | | No | |
| If yes, refer to section 5 for methods applied |  | | | |
| Are the model(s) supported by results of gradient drilling? | Yes | | No | |
| If yes, refer to section 5 for number and depth of gradient wells |  | | | |
| Were data for the model(s) taken from the literature? | Yes | | No | |
| If yes, give citation of references (published papers/conference contributions and unpublished reports) |  | | | |
| Were additional data acquired i.e. measured/analysed/ contracted and interpreted by the team proposed in this EoI? | Yes | | No | |
| If yes, please specify |  | | | |
| Remarks: | | | | |

# Information about Infrastructure

|  |  |  |  |
| --- | --- | --- | --- |
|  | **Explanation** | | |
| Access to proposed exploration area /drill sites | good | fair | poor |
| Availability of water for drilling | established | | needed |
| If **established**, please specify the water source, and the capacity of the water supply system.  If **needed**, please give an outline for a water supply plan in which a potential water source is specified - along with a capacity estimate and its distance from the proposed drill site(s). |  | | |
| Power supply | from public grid | from diesel generator | other |
| Remarks: | | | |

# Work Plan

|  |  |
| --- | --- |
| **Work plan for infrastructure** [*table to be deleted if not applicable*] | |
| [*Insert work plan – including timeline, for infrastructure, maximum one page*] | |
| Estimated eligible cost to complete infrastructure up-grade (in USD), **of which up to 20% could be funded** by the GRMF |  |

|  |  |
| --- | --- |
| **Work plan for surface studies to identify drilling site(s)** | |
| [*Insert work plan – including timeline, and justification for carrying out the proposed activities for surface studies. Please make sure that all activities are eligible for support from the GRMF facility and that the survey is not a reconnaissance study. Eligible activities are addressed in the Developer Manual. Maximum two pages*] | |
| Estimated eligible cost for proposed surface study (in USD), **of which up to 80% could be funded** by the GRMF |  |

# Financing Plan

| **Financing plan[[3]](#footnote-3)** |
| --- |
| [*Insert how and by whom the proposed programme will be financed to meet grant requirements (Developer’s share of project costs), maximum one page*]  *Please provide the following information:*   * *total costs of proposed programme* * *total eligible costs and amount applied for (surface study and infrastructure upgrade provided separately)* * *equity share of the eligible entity (indicate readiness for disbursement and support by financial statements / audit reports)* * *funds by further donors and complete financing structure (%-shares of each donor / entity / subsidy programme, commercial bank)*   *Additionally, please indicate who bears the costs for the interconnection to the national grid and the extent of grid infrastructure required for this interconnection.* |

# Offtaker Potential

|  |  |  |  |
| --- | --- | --- | --- |
|  | Explanation | | |
| Distance from proposed project site to nearest interconnection point (Please clearly mark the location of the envisaged power connection on the provided map) |  | | |
| Available capacity of line at interconnection point |  | | |
| Is a grid connection contract available? | Yes | In progress | No |
| Have discussions been initiated with potential offtaker(s) for heat produced?[[4]](#footnote-4) | Yes | No | In progress |
| Name of potential offtaker organisation(s) |  | | |
| Remarks: |  | | |

# Appendices

|  |  |
| --- | --- |
| Appendix 1 | Declaration of Acceptance and Adherence to Procurement Standards |
| Appendix 2 | Declaration of Non-Existence of Rejection Grounds |
| Appendix 3 | Experience |
|  | A – Summary of Eligible Entity’s Experience |
|  | B – References |
| Appendix 4 | Key Personnel |
|  | A – List of Personnel |
|  | B – CV Format |
| Appendix 5 | Project Organisation |
| Appendix6 | Eligible Entity Presentation |

Appendix 1:  
Declaration of Acceptance and Adherence to Procurement Standards

**Declaration**

We **underscore** the importance of a free, fair and competitive procurement process that precludes fraudulent use. In this respect we have neither offered nor granted, directly or indirectly, any inadmissible advantages to any public servants or other persons in connection with our bid, nor will we offer or grant any such incentives, or conditions in the present procurement process or in the event that we are awarded the contract, in the subsequent execution of the contract.

We also underscore the importance of adhering to minimum social standards ("Core Labour Standards") in the implementation of the project. We undertake to comply with the Core Labour Standards ratified by the country [*name of the country*] for which our application is relevant.

We will **inform** our staff about their respective obligations and about their obligation to fulfil this declaration of undertaking and to obey the laws of the country [*name of the country*] for which our application is relevant.

(Place) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_, (Date) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Name of eligible entity (or lead company on behalf of associated companies / consortium)

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Name(s) and Position(s) Signature(s)

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Appendix 2:** **Declaration of Non-Existence of Rejection Grounds**

**Declaration**

We hereby declare that we are not in any of the below listed situations which will lead to a direct rejection. We also declare that none of our Sub-contractors, Sub-consultants, Joint Venture partners, or any other party included in this Application is in any of the same situations:

* We are bankrupt or being wound up, are having our affairs administered by the courts, have entered into an arrangement with creditors, have suspended business activities, are the subject of proceedings concerning those matters, or are in any analogous situation arising from a similar procedure provided for in national legislation or regulations;
* We have been convicted of an offence concerning professional conduct;
* We have been found guilty of grave professional misconduct proven by any means which the contracting authority can justify;
* We have not fulfilled obligations relating to the payment of social security contributions or the payment of taxes in accordance with the legal provisions of the country in which we are established or with those of the country of the contracting authority or those of the country where the Contract is to be performed;
* We have been the subject of a judgment for fraud, corruption, money laundering, involvement in a criminal organisation or any other illegal activity detrimental to a country’s financial interests;
* We are faced with a conflict of interest;
* We or our sub-contractors are subject to UN, EU or AU sanctions;
* We do not exist as legal entity;
* Our project site is in an area subject to either conflicts, or where disputes about borders exist.

We also declare that:

* We will follow the Developer Procurement Guidelines & the Contracting Authority’s Code of Ethics;
* We will carry out our operations at all times in compliance with all applicable national environmental, occupational health & safety and social laws and regulations. International Law including conventions and treaties adopted by the host country and applicable to the Project will be respected. In addition, compliance with the requirements of KfW’s Sustainability Guideline and therewith with IFC Environmental and Social Performance Standards (PS)[[5]](#footnote-5) including:
  + PS1: Social and Environmental Assessment and Management Systems 1
  + PS2: Labour and Working Conditions
  + PS3: Pollution Prevention and Abatement
  + PS4: Community Health, Safety and Security
  + PS5: Land Acquisition and Involuntary Resettlement
  + PS6: Biodiversity Conservation and Sustainable Natural Resource Management
  + PS7: Indigenous Peoples
  + PS8: Cultural Heritage
* World Bank Group’s Environmental and Health (EHS) and Safety Guidelines[[6]](#footnote-6) including:
  + General EHS Guidelines
  + EHS Guidelines for Geothermal Power Generation
  + EHS Guidelines for Onshore Oil and Gas Development (for the management of naturally occurring radioactive materials (NORM)
  + World Bank Group’s EHS Guidelines for Toll Roads (regarding abnormal load transports)
* Guidelines on Incorporating Human Rights Standards and Principles, Including Gender, in Programme Proposals for Bilateral German Technical and Financial Cooperation[[7]](#footnote-7),
* For resettlement aspects, the UN Basic Principles and Guidelines on Development-based Evictions and Displacement, namely sections 42, 49, 52, 54 and 60, will be complied with (in addition to national legislation and IFC PS 5).

Furthermore, we acknowledge that the following criteria will lead to rejection of the Application:

* Application refers to a non-eligible activity or country;
* Application is incomplete or not substantially responsive to the Application documents;
* No geological and geochemical studies have yet been substantially completed for the proposed project site;
* The necessary concessions/licences/permits are not issued and not in progress of being approved and no Letter of Support is provided by the relevant authorities.
* The two declarations and the cover letter are not submitted according to the provided format and / or are not signed and / or stamped.
* The EoI is not submitted by the submission deadline to the required location in the requested format (1 searchable electronic copy / cover letter and declarations as 1 original hard copy and 1 electronic copy).

(Place) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_, (Date) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Name of company (or lead company on behalf of associated companies / consortium)

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Name(s) and Position(s) Signature(s)

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Appendix 3:** **Experience**

**A – Summary of Eligible Entity’s Experience[[8]](#footnote-8)**

|  |  |  |
| --- | --- | --- |
| **Former geothermal exploration studies managed or undertaken** | | |
| **Country** | **Site** | **Year** |
|  |  |  |
|  |  |  |
|  |  |  |

|  |  |  |
| --- | --- | --- |
| **Former geothermal reservoir confirmation drilling managed or undertaken** | | |
| **Country** | **Site** | **Year** |
|  |  |  |
|  |  |  |
|  |  |  |

|  |  |  |  |
| --- | --- | --- | --- |
| **Geothermal projects brought online** | | | |
| **Country** | **Site** | **Year** | **MWe online** |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

**Appendix 3: Experience**

B – References[[9]](#footnote-9)

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Ref** | **Project title** | | … | | | | | |
| **Name of legal entity** | **Country of project** | **Overall project value (in USD)** | **Proportion carried out by legal entity (%)** | **Number of permanent staff provided** | **Name of client** | **Origin of funding** | **Duration of project (start/end)** | **Name of external partners if any** |
| … | … | … | … | … | … | … | … | … |
| **Description of project** | | | | | **Type of services provided** | | | |
| … | | | | | … | | | |

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Ref** | **Project title** | | … | | | | | |
| **Name of legal entity** | **Country of project** | **Overall project value (in USD)** | **Proportion carried out by legal entity (%)** | **Number of permanent staff provided** | **Name of client** | **Origin of funding** | **Duration of project (start/end)** | **Name of external partners if any** |
| … | … | … | … | … | … | … | … | … |
| **Description of project** | | | | | **Type of services provided** | | | |
| … | | | | | … | | | |

**Appendix 4:** **Key Personnel**

1. **– List of Personnel[[10]](#footnote-10)**

The following table contains a list of all key personnel[[11]](#footnote-11), consultants and contractors who will be directly involved with the project and a description of their responsibilities, roles and qualification relative to the work to be undertaken.

|  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **No** | **Mr/Mrs** | **Family Name** | **First Name** | **Company** | **Profession** | **Rank in Project** | **Function in Project** | **Fields of Expertise** | **Presence/location**  **(permanent on-site/ Intermittent/ Expert Pool/ Backstopping)** | **Man-Months in Project** |
| 1 |  |  |  |  |  |  |  |  |  |  |
| 2 |  |  |  |  |  |  |  |  |  |  |
| 3 |  |  |  |  |  |  |  |  |  |  |
| 4 |  |  |  |  |  |  |  |  |  |  |
| 5 |  |  |  |  |  |  |  |  |  |  |
| 6 |  |  |  |  |  |  |  |  |  |  |
| 7 |  |  |  |  |  |  |  |  |  |  |

**Appendix 4: Key Personnel**

1. **– CV Format**

**Curriculum Vitae**

|  |
| --- |
| **ROLE AND FUNCTION IN PROJECT** |
|  |

|  |  |  |
| --- | --- | --- |
| **1.** | **Family Name** |  |
| **2.** | **First Names** |  |
| **3.** | **Title and Academic Titles** |  |
| **4.** | **Date of Birth** |  |
| **5.** | **Nationality** |  |

|  |  |
| --- | --- |
| **6. Education** | |
| Institution |  |
| Date |  |
| Degree |  |
| Institution |  |
| Date |  |
| Degree |  |

|  |  |  |  |
| --- | --- | --- | --- |
| **7. Languages Skills** | | | |
| **Language** | **Reading** | **Speaking** | **Writing** |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

|  |
| --- |
| **8. Membership of Professional Organisations** |
|  |

|  |
| --- |
| **9. Other Skills** |
|  |

|  |  |
| --- | --- |
| **10. Present Position** |  |

|  |  |
| --- | --- |
| **11. Firm and years within firm** |  |

|  |
| --- |
| **12. Key Qualifications (relevant to the project)** |
|  |

|  |  |  |
| --- | --- | --- |
| **13. Specific regional experience** | | |
| **Country** | **Total Man Months** | **Dates** |
|  |  |  |
|  |  |  |
|  |  |  |

|  |  |
| --- | --- |
| **14. Professional Experience Record[[12]](#footnote-12)** | |
| **Date** |  |
| **Location (Country/City)** |  |
| **Company** |  |
| **Project Sponsor / Co-Financier** |  |
| **Project** |  |
| **Position** |  |
| **Description** |  |

|  |  |
| --- | --- |
| **Date** |  |
| **Location (Country/City)** |  |
| **Company** |  |
| **Project Sponsor / Co-Financier** |  |
| **Project** |  |
| **Position** |  |
| **Description** |  |

|  |
| --- |
| **15. Publications** |
|  |

|  |
| --- |
| **16. Others** |
|  |

Certification:

I understand that any wilful misstatement described herein may lead to my disqualification or dismissal, if engaged.

[Signature of staff member] Day/Month/Year[[13]](#footnote-13)

**Appendix 5:** **Project Organisation**

[Please include here an organisational chart listing principal personnel responsibilities and reporting within the project]

**Appendix 6:** **Eligible Entity Presentation**

1. For the GRMF a “Consortium” is any kind of cooperation with the objective of a joint development of a geothermal project.

   For this cooperation, there could be either:

   A Special Purpose Vehicle (SPV) especially established for the particular project, with shareholders from participating partners,

   A Joint Venture agreement between cooperating parties,

   In case of a), the SPV will be the applicant and finally also the beneficiary. The declarations and the grant contract will have to be signed by the representative(s) of this corporation.

   In case of b) the joint venture agreement has to be submitted to AUC with the application. The declarations and grant contract have to be signed by every cooperating party. [↑](#footnote-ref-1)
2. If available, include a copy of the concession/licence, a map indicating the concession area and GPS data to support the verification and localisation. [↑](#footnote-ref-2)
3. Public entities are also required to provide information on how they intend to finance the remaining portion of the project. [↑](#footnote-ref-3)
4. Especially in case of low/medium-enthalpy projects the question of market viability includes an assessment of the options for generating additional revenues by heat sales. [↑](#footnote-ref-4)
5. Available under the following link: [IFC Performance Standards](http://www.ifc.org/wps/wcm/connect/topics_ext_content/ifc_external_corporate_site/ifc+sustainability/our+approach/risk+management/performance+standards/environmental+and+social+performance+standards+and+guidance+notes) [↑](#footnote-ref-5)
6. Available under the following link: [IFC EHS Guidelines](http://www.ifc.org/wps/wcm/connect/topics_ext_content/ifc_external_corporate_site/ifc+sustainability/our+approach/risk+management/ehsguidelines) [↑](#footnote-ref-6)
7. Available under the following link: [Guidelines on Incorporating Human Rights Standards and Principles, Including Gender, in Programme Proposals for Bilateral German Technical and Financial Cooperation, 2013.](http://www.bmz.de/en/zentrales_downloadarchiv/themen_und_schwerpunkte/menschenrechte/Leitfaden_PV_2013_en.pdf) [↑](#footnote-ref-7)
8. Please insert further rows as necessary. [↑](#footnote-ref-8)
9. Please add further references as necessary. [↑](#footnote-ref-9)
10. Please add further rows as necessary [↑](#footnote-ref-10)
11. This shall also include personnel for Environmental and Social Studies, for environmental and social management - including stakeholder engagement. [↑](#footnote-ref-11)
12. Table to be duplicated as necessary [↑](#footnote-ref-12)
13. Electronic version of signature is sufficient. [↑](#footnote-ref-13)