

Self-declaration

The Self-declaration is made by you (the Potential Fund Manager), that you do not meet any of the grounds for exclusion. If there are grounds for exclusion, there is an opportunity to explain the background and any measures you have taken to rectify the situation (we call this self-cleaning).

A completed declaration provides a formal statement that the organisation making the declaration has not breached any of the exclusion grounds. Consequently, we require all Consortium/Joint Venture participants that you will rely on to meet the selection criteria to provide a completed declaration. For example, these could be parent companies, affiliates, associates, or essential sub-contractors, if they are relied upon to meet the selection criteria. This means that where you are joining in a group of organisations, including joint ventures and partnerships, each organisation in that group must complete one of these Self-declarations. Sub-contractors that you rely on to meet the selection criteria must also complete a Self-declaration (although sub-contractors that are not relied upon do not need to complete the Self-declaration).

When completed, this form is to be sent back to:

UKIDCF Team at Proposals.UKIDCF@sbicapventures.com

Consequences of misrepresentation

If you seriously misrepresent any factual information in filling in the Self-declaration, and so induce an authority to enter into a contract, there may be significant consequences. You may be excluded from the procurement procedure, and from bidding for other contracts for three years. If a contract has been entered into, you may be sued for damages and the contract may be rescinded. If fraud, or fraudulent intent, can be proved, you or your responsible officers may be prosecuted and convicted of the offence of fraud by false representation, and you will be excluded from further procurements for five years.

Notes for completion

UKIDCF as the “contracting authority” (“authority”), is seeking interest from credible potential investment fund managers (Potential Fund Manager) with relevant experience and who are eligible under applicable laws, including the relevant Securities and Exchange Board of India (“SEBI”) regulations, to participate in the RFP. Tenderers are required to complete this document as part of the qualification process.

1. The “authority” means the contracting authority, or anyone acting on behalf of the contracting authority, that is seeking to invite suitable candidates to participate in this procurement process.
2. “You” / “Your” refers to the Potential Fund Manager completing this standard Self-declaration i.e. the legal entity responsible for the information provided. The term “Potential Fund Manager” is intended to cover any economic entity and could be a registered company; the lead contact for a group of economic operators; affiliates; Special Purpose Vehicle; or other form of entity.
3. Please ensure that all questions are completed in full, and in the format requested. If the question does not apply to you, please state ‘N/A’. Should you need to provide additional information in response to the questions, please submit a clearly identified annex.
4. The authority recognises that arrangements set out in this Self-declaration, in relation to a group of economic operators (for example, a consortium) and/or use of sub-contractors, may be subject to change and will, therefore, not be finalised until a later date. The lead contact should notify the authority immediately of any change in the proposed arrangements and ensure a completed Self-declaration is submitted for any new organisation relied on to meet the selection criteria. The authority will make a revised assessment of the submission based on the updated information.
5. Every organisation that is being relied on to meet the selection must complete and submit the Self-declaration.

Exclusion Grounds

Please answer the following questions in full. Note that every organisation that is being relied on to meet the selection must complete and submit the Self-declaration.

Section 1	Grounds for mandatory exclusion	
Question number	Question	Response
1.1(a)	Please indicate if, within the past five years you, your organisation or any other person who has powers of representation, decision or control in the organisation have been convicted anywhere in the world of any of the offences within the summary below and under applicable laws.	
	Participation in a criminal organisation.	Yes <input type="checkbox"/> No <input type="checkbox"/> If Yes please provide details at 1.1(b)
	Corruption.	Yes <input type="checkbox"/> No <input type="checkbox"/> If Yes please provide details at 1.1(b)
	Fraud.	Yes <input type="checkbox"/> No <input type="checkbox"/> If Yes please provide details at 1.1(b)
	Terrorist offences or offences linked to terrorist activities	Yes <input type="checkbox"/> No <input type="checkbox"/> If Yes please provide details at 1.1(b)
	Money laundering or terrorist financing	Yes <input type="checkbox"/> No <input type="checkbox"/> If Yes please provide details at 1.1(b)
	Child labour and other forms of trafficking in human beings	Yes <input type="checkbox"/> No <input type="checkbox"/> If Yes please provide details at 1.1(b)
1.1(b)	If you have answered yes to question 1.1(a), please provide further details. Date of conviction, specify which of the grounds listed the conviction was for, and the reasons for conviction, Identity who has been convicted If the relevant documentation is available electronically, please provide the web address, issuing authority, precise reference of the documents.	
1.2	If you have answered Yes to any of the above questions under section 1.1(a), have measures been taken to demonstrate the reliability of your organisation despite the existence of a relevant ground for exclusion? (Self Cleaning)	Yes <input type="checkbox"/> No <input type="checkbox"/>

1.3	Any other Self-declaration not covered in this form that you would want to disclose?	
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Please Note: The authority reserves the right to use its discretion to exclude a Potential Fund Manager where it can demonstrate by any appropriate means that the Potential Fund Manager is in breach of its obligations relating to the non-payment of taxes or other mandatory fees or contributions such as social security contributions.

Section 2		Grounds for discretionary exclusion
	Question	Response
2.1	Please indicate if, within the past three years, anywhere in the world any of the following situations have applied to you, your organisation or any other person who has powers of representation, decision or control in the organisation.	
2.1(a)	Breach of environmental obligations?	Yes <input type="checkbox"/> No <input type="checkbox"/> If yes please provide details at 2.2
2.1 (b)	Breach of social obligations?	Yes <input type="checkbox"/> No <input type="checkbox"/> If yes please provide details at 2.2
2.1 (c)	Breach of labour law obligations?	Yes <input type="checkbox"/> No <input type="checkbox"/> If yes please provide details at 2.2
2.1(d)	Bankrupt or is the subject of insolvency or winding-up proceedings, where the organisation's assets are being administered by a liquidator or by the court, where it is in an arrangement with creditors, where its business activities are suspended or it is in any analogous situation arising from a similar procedure under the laws and regulations of any jurisdiction?	Yes <input type="checkbox"/> No <input type="checkbox"/> If yes please provide details at 2.2
2.1(e)	Guilty of grave professional misconduct?	Yes <input type="checkbox"/> No <input type="checkbox"/> If yes please provide details at 2.2
2.1(f)	Entered into agreements with other economic operators aimed at distorting competition?	Yes <input type="checkbox"/> No <input type="checkbox"/> If yes please provide details at 322
2.1(g)	Aware of any conflict of interest within the meaning of SEBI AIF Regulation 24 due to the participation in the procurement procedure?	Yes <input type="checkbox"/> No <input type="checkbox"/> If yes please provide details at 2.2
2.1(h)	Been involved in the preparation of the procurement procedure?	Yes <input type="checkbox"/> No <input type="checkbox"/> If yes please provide details at 2.2
2.1(i)	Shown significant or persistent deficiencies in the performance of a substantive requirement under a prior public contract, a prior contract with a contracting entity, or a prior concession contract, which led to early	Yes <input type="checkbox"/> No <input type="checkbox"/> If yes please provide details at 2.2

	termination of that prior contract, damages or other comparable sanctions?	
2.1(j)	Please answer the following statements	
2.1(j) - (i)	Your organisation is guilty of deliberate misrepresentation in supplying the information required for the verification of the absence of grounds for exclusion or the fulfilment of the selection criteria.	Yes <input type="checkbox"/> No <input type="checkbox"/> If Yes please provide details at 2.2
2.1(j) - (ii)	Your organisation has withheld such information.	Yes <input type="checkbox"/> No <input type="checkbox"/> If Yes please provide details at 2.2
2.1(j)-(iii)	The organisation has influenced the decision-making process of the contracting authority to obtain confidential information that may confer upon the organisation undue advantages in the procurement procedure, or to negligently provide misleading information that may have a material influence on decisions concerning exclusion, selection or award.	Yes <input type="checkbox"/> No <input type="checkbox"/> If Yes please provide details at 2.2
2.2	If you have answered Yes to any of the above, explain what measures been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion? (Self-Cleaning)	

Declaration

Your Self-declaration must be accompanied by the following Declaration on company headed paper showing the full registered and trading name(s), trading and registered office address of the Potential Fund Manager and, in the case of a company, the place of incorporation. It should be signed by a person of suitable authority to commit to the Declaration, naming the individual and their role that shall be responsible and accountable for compliance with or any breach of this declaration. The original signed version of the Declaration should be included within your Self-declaration submission. You must quote the Procurement Title, Reference Number (as provided in the Self-declaration) and include the following declarations:

[The Potential Fund Manager] is fully committed to compliance with all operating obligations, including tax filing and employment legislation, in each jurisdiction in which the Potential Fund Manager operates, including all countries under which funds are deployed.

[The Potential Fund Manager] has met all its tax obligations in all jurisdiction in which we are registered and operate.

[The Potential Fund Manager] is not aware of any non-compliance with tax obligations in any jurisdiction relevant to where UKIDCF funds are deployed.

[The Potential Fund Manager] will provide, in writing, notification to UKIDCF of any Occasion of Tax Non-Compliance or any litigation that [the Potential Fund Manager.] is involved in connection with any Occasions of Tax Non-Compliance, this should be provided within 5 working days.

[The Potential Fund Manager] assures UKIDCF, as per the requirements of the Self-declaration, the above three statements are agreed by our proposed sub-contractors.

[The Potential Fund Manager] will notify UKIDCF immediately becoming aware of any non-compliance with UKIDCFs policies and procedures including the disclosure of relationships and conflicts of interest with UKIDCF staff.

[The Potential Fund Manager] will comply with UKIDCF Security policy in the handling, management, storage and processing of information belonging to UKIDCF or its' partners, ensuring data does not leave our systems and that there are robust IT controls over data.

[The Potential Fund Manager] is committed to transparency in our use of UKIDCF funds. We extend all these principles to our supply chain and seek to drive compliance at every level.

I declare that to the best of my knowledge the answers submitted in this Self-declaration along with information contained in this document are correct and accurate.

I declare that, upon request and without delay I will provide the certificates or documentary evidence referred to in this document.

4.3	International Aid Transparency Initiative	
	Contract awarded will require the Potential Fund Manager, and immediate sub-contractors to publish information, with the goal being full traceability of funding from UKIDCF throughout the whole supply chain as required under the International Aid Transparency Initiative.	
1.	Publication of data to the International Aid Transparency Initiative (IATI) Registry is a contractual requirement. Are you	

	already registered? Please answer “yes” or “no” and if yes, provide your registration number	
2.	If you are not registered to the IATI registry please confirm you will ensure registration is completed, if you are successful in this tender, before contract award stage of this process.	

I understand that the information will be used in the selection process to assess my organisation’s suitability to be invited to participate further in this procurement.

I understand that the authority may reject this submission if false/misleading information or content is provided in any section.

I am aware of the consequences of serious misrepresentation.

Name

Role

Signature