

## Form 1 – Declaration of Undertaking

We hereby certify that neither we nor any of our board members or legal representatives nor any other member of our Joint Venture including Sub-contractors, nor any of our major shareholders are in any of the following situations:

- being bankrupt, wound up or ceasing activities, having our activities administered by courts, having entered into receivership, reorganization or being in any analogous situation;
- convicted by a final judgement or a final administrative decision or subject to financial sanctions by Switzerland and/or the United Nations and/or the European Union for involvement in a criminal organization, money laundering, terrorist-related offences, child labor or trafficking in human beings; this criterion of exclusion is also applicable to legal Persons, whose majority of shares are held or factually controlled by natural or legal Persons which themselves are subject to such convictions or sanctions;
- having been convicted by a final court decision or a final administrative decision by a court, the European Union, national authorities in Switzerland for Sanctionable Practice in connection with a CfP Process or for an irregularity affecting the mandator's interests (in the event of such a conviction, the Candidate shall attach to this Declaration of Undertaking supporting information showing that this conviction is not relevant in the context of this legal agreement and that adequate compliance measures have been taken in reaction);
- having been subject, within the past five years to a mandate termination fully settled for significant or persistent failure to comply with our mandate obligations during such performance, unless this termination was challenged and dispute resolution is still pending or has not confirmed a full settlement against us;
- not having fulfilled the applicable fiscal obligations with regard to the payment of taxes at the respective tax residence and in Switzerland (*Candidates must submit a fully completed and legally countersigned declaration of tax conformity in addition to the Declaration of Undertaking at the time of Award. This shall become an integral part of the mandate. Failure to submit may result in exclusion from the awarding procedure*);
- being subject to an exclusion decision of the World Bank or any other multilateral development bank and being listed on the website <http://www.worldbank.org/debarr> or respectively on the relevant list of any other multilateral development bank (*in the event of such exclusion, the Candidate shall attach to this Declaration of Undertaking supporting information showing that this exclusion is not relevant in the context of this mandate and that adequate compliance measures have been taken in reaction*); or
- being guilty of misrepresentation in supplying the information required as a condition of participation in the CfP.

We hereby certify that neither we, nor any of the members of our Joint Venture or any of our Sub-contractors under the mandate, nor any of our major shareholders are in any of the following situations of conflict of interest:

- being an Affiliate controlled by SIFI or a shareholder controlling SIFI, unless the stemming conflict of interest has been brought to the attention of SIFI and resolved to its satisfaction;
- having a business or family relationship with a SIFI's staff involved in the CfP Process or the supervision of the resulting mandate, unless the stemming conflict of interest has been brought to the attention of SIFI and resolved to its satisfaction;
- being controlled by or controlling another Candidate, or being under common control with another Candidate, or receiving from or granting subsidies directly or indirectly to another Candidate, having the same legal representative as another Candidate, maintaining direct or indirect contacts with another Candidate which

allows us to have or give access to information contained in the respective EoIs or Proposals, influencing them or influencing decisions of SIFI;

- being engaged in an activity, which, by its nature, may be in conflict with the assignments that we would carry out for SIFI;

If we are a state-owned entity, and compete in a Public Tender Process, we certify that we have legal and financial autonomy and that we operate under commercial laws and regulations. We undertake to bring to the attention of SIFI, any change in situation with regard to the points here above.

In the context of this Public Tender Process and thereafter:

- neither we, nor any of the members of our Joint Venture or any of our Sub-contractors under the mandate have engaged or will engage in any Sanctionable Practice during the Public Tender Process and in the case of being awarded the mandate will engage in any Sanctionable Practice during the performance of the mandate;
- neither we, nor any of the members of our Joint Venture or any of our Sub-contractors under the mandate shall acquire or supply any equipment nor operate in any sectors under an embargo of Switzerland and/or the United Nations and/or the European Union;
- we and any of the members of our Joint Venture and any of our Sub-contractors under the mandate commit to comply with and ensuring that our Sub-contractors and major suppliers under the mandate comply with international environmental and labor standards, consistent with laws and regulations applicable in the country of implementation of the mandate and the fundamental conventions of the International Labour Organisation<sup>1</sup> (ILO) and international environmental treaties. Moreover, we shall implement environmental and social risks mitigation measures when specified in the relevant environmental and social management plans or other similar documents provided by SIFI and, in any case, implement measures to prevent sexual exploitation and abuse and gender-based violence.

In the case of being awarded the mandate, we, as well as all members of our Joint Venture partners and Sub-contractors under the mandate will, (i) upon request, provide information relating to the Public Tender Process and the performance of the mandate and (ii) permit SIFI or an agent appointed by SIFI, to inspect the respective accounts, records and documents, to permit on the spot checks and to ensure access to sites and the respective fund.

In the case of being awarded the mandate, we, as well as all our Joint Venture partners and Sub-contractors under the mandate undertake to preserve above mentioned records and documents in accordance with Applicable Law, but in any case, for at least six years from the date of fulfillment or termination of the mandate. Our financial transactions and financial statements shall be subject to auditing procedures in accordance with Applicable Law. Furthermore, we accept that our data (including personal data) generated in connection with the preparation and implementation of the Public Tender Process and the performance of the mandate are stored and processed according to the Applicable Law by SIFI.

\_\_\_\_\_ (Name of the Candidate)<sup>2</sup>  
 \_\_\_\_\_ (Name of the Candidate's representative)  
 \_\_\_\_\_ (Title of the Candidate's representative)

<sup>1</sup> In case ILO conventions have not been fully ratified or implemented in the SDG Impact Finance Initiative's country the Candidate/Fund shall, to the satisfaction of the SDG Impact Finance Initiative, propose and implement appropriate measures in the spirit of the said ILO conventions with respect to a) workers grievances on working conditions and terms of employment, b) child labour, c) forced labour, d) worker's organizations and e) non-discrimination.

<sup>2</sup> In the case of a JV, insert the name of the JV. The representative who will sign on behalf of the Candidate shall attach a power of attorney from the Candidate and the JV partners.

\_\_\_\_\_ (Place)  
\_\_\_\_\_ (Date)  
\_\_\_\_\_ (Signature)