

**MUMBAI METRO LINE 3 (COLABA-BANDRA-SEEPZ)**  
**CONTRACT PACKAGE MM3-CBS-RS**  
**Addendum No:-16**

**Prequalification Document for Procurement of Design, Manufacture, Supply, Installation, Testing and Commissioning of Rolling Stock**

Sl. No.	Description and Clause No	Amendment
1	Section II. Pre-qualification Data Sheet, Page PDS-2 ITA 3.1 (c)	<p><b>Add the following Sentence</b></p> <p>Will recognize a Contractor as ineligible to be awarded a Contract in principle if the Contractor or Subcontractor has been debarred by Delhi Metro Rail Corporation and/or other Metro Rail Corporation chaired by Secretary of Ministry of Urban Development, Government of India, with the prior concurrence of JICA, as on the due date of submission of bid.</p>
2	Documents Comprising the Application PDS ITA 10.1 (e ) Page PDS-3	<p><b>Replace</b></p> <p>“The Applicant shall submit with its Application, the following additional documents:</p> <p>Form FIN-3.1, Form FIN-3.2 is duly filled shall be self-certified and certified by certified auditors/Chartered Accountants.</p> <p>Form FIN-3.3: Liquidity Position is duly filled and to be self-certified with supporting documents from the bank as per the format in page AF-14 of the Prequalification Document.</p> <p>Form EXP-4.1, Form EXP-4.2(a), EXP-4.2(b) and Form EXP-4.2 (c) is duly filled, shall be self-certified and supported by the necessary documents issued by the respective clients.”</p> <p><b>With</b></p> <p>“The Applicant shall submit with its Application, the following additional documents:</p> <p>Form FIN-3.1, Form FIN-3.2 is duly filled shall be self-certified and certified by certified auditors/Chartered Accountants.</p> <p>Form FIN-3.3: Liquidity Position is duly filled and to be self-certified with supporting documents from the bank as per the format in page AF-14 of the Prequalification Document.</p> <p>Form EXP-4.1, Form EXP-4.2(a), EXP-4.2(b) and Form EXP-4.2 (c) is duly filled, shall be</p>

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		self-certified and supported by the necessary documents issued by the respective clients.”  Form DBR shall be self-certified.
3	Section III. Qualification Criteria and Requirements, Page QCR-3 2.1 History of Non-Performing Contracts	Revised “2.1 History of Non-Performing Contracts” is enclosed as “Attachment No. 1” to this “Addendum No. 16”. <b>Replace</b> Non-performance of a contract <sup>(i)</sup> did not occur as a result of contractor’s default since <b>1<sup>st</sup> January 2014.</b> <b>With</b> Non-performance of a contract <sup>(i)</sup> did not occur as a result of contractor’s default since <b>1<sup>st</sup> January 2015.</b>
4	Section III Qualification Criteria and Requirements Page QCR-4 2.3 Litigation History	Revised “2.3 Litigation History” is enclosed as “Attachment No. 1” to this “Addendum No. 16”. <b>Replace</b> No consistent history of court/arbitral award decisions <sup>(iv)</sup> against the Applicant <sup>(iii)</sup> since <b>1<sup>st</sup> January 2011.</b> <b>With</b> No consistent history of court/arbitral award decisions <sup>(iv)</sup> against the Applicant <sup>(iii)</sup> since <b>1<sup>st</sup> January 2012.</b>
5	Section III Qualification Criteria and Requirements Page QCR-5 3.1 Financial Performance	Revised “3.1 Financial Performance” is enclosed as “Attachment No.1” to this “Addendum No.16”. <b>Replace</b> The audited balance sheets or, if not required by the laws of the Applicant’s country, other financial statements acceptable to the Employer, for the last 5 years ending <b>31<sup>st</sup> March 2015<sup>(i)</sup></b> for the countries where the financial year ending on 31 <sup>st</sup> March <sup>(i)</sup> , or for the last 5 years ending <b>31<sup>st</sup> December 2015</b> for the countries where the financial year ending on 31 <sup>st</sup> December shall be submitted and must demonstrate the current soundness of the Applicant’s financial position and indicate its prospective long-term profitability.  As the minimum requirement, an Applicant’s net worth calculated as the difference between total assets and total liabilities should be positive.  <b>With</b>

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		<p>The audited balance sheets or, if not required by the laws of the Applicant’s country, other financial statements acceptable to the Employer, for the last 5 years ending <b>31st March 2016</b><sup>(i)</sup> for the countries where the financial year ending on 31st March, or for the last 5 years ending <b>31st December 2015</b><sup>(i)</sup> for the countries where the financial year ending on 31st December shall be submitted and must demonstrate the current soundness of the Applicant’s financial position and indicate its prospective long-term profitability.</p> <p>As the minimum requirement, an Applicant’s net worth calculated as the difference between total assets and total liabilities should be positive.</p>
6	<p>Section III Qualification Criteria and Requirements Page QCR-5  3.2 Average Annual Turnover</p>	<p>Revised “3.2 Average Turnover” is enclosed as “Attachment No.1” to this “Addendum No.16”.</p> <p><b>Replace</b></p> <p>The minimum <b>average annual Railway Systems turnover</b> of US\$ 160 million calculated <sup>(ii)</sup> as total certified payments received for contracts in progress and/ or completed, within the last five years ending on <b>31st March 2015</b> for the countries where the financial year ending on 31st March <sup>(i)</sup>, Or ending <b>31st December 2015</b><sup>(i)</sup> for the countries where the financial year ending on 31st December.</p> <p><b>With</b></p> <p>The minimum <b>average annual Construction turnover</b> of US\$ 160 million calculated <sup>(ii)</sup> as total certified payments received for contracts in progress and/ or completed, within the last five years ending on <b>31st March 2016</b><sup>(i)</sup> for the countries where the financial year ending on 31st March, Or ending <b>31st December 2015</b><sup>(i)</sup> for the countries where the financial year ending on 31st December.</p>
7	<p>Section III Qualification Criteria and Requirements Page QCR-6  3.1 Financial Performance  3.2 Average Annual Turnover  3.3 Liquidity Position</p>	<p>Refer “Attachment No. 1” to this “Addendum No. 16”</p> <p><b>Replace</b></p> <p><b><u>Notes for the Applicant</u></b></p> <p>(i) Wherever the audited Financial Statement of Financial Year ending 31st December, 2016 is available, the same will be considered.</p> <p>(ii) To bring the contract values at par, Turnover values will be calculated by assuming 5% inflation per annum for Indian Rupees and 2% escalation per annum for foreign currency for first four years of turnover values.</p>

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		<p><b>With</b></p> <p><b><u>Notes for the Applicant</u></b></p> <p>(i) Wherever the audited Financial Statement of Financial Year ending 31<sup>st</sup> March 2017 or ending 31<sup>st</sup> December 2016 is available, the same will be considered.</p> <p>(ii) To bring the contract values at par, Turnover values will be calculated by assuming 5% inflation per annum for Indian Rupees and 2% escalation per annum for foreign currency for first four years of turnover values.</p>
8	Section III Qualification Criteria and Requirements Page QCR-7 4.1 General Railway Systems Experience	<p>Revised “4.1 General railway Systems Experience” is enclosed as “Attachment No.1” to this “Addendum No.16”.</p> <p><b>Replace</b></p> <p><b>4.1 General Railway System Experience</b> Experience under <b>Railway Systems contracts</b> in the role of prime contractor (single entity or JV member), subcontractor or management contractor <b>(i)</b> for at least the last ten (10) years, starting <b>1<sup>st</sup> January 2006</b>.</p> <p><b>With</b></p> <p><b>4.1 General Construction Experience</b> Experience under <b>Construction contracts</b> in the role of prime contractor (single entity or JV member), subcontractor or management contractor <b>(i)</b> for at least the last ten (10) years, starting <b>1<sup>st</sup> January 2007</b>.</p>
9	Section III Qualification Criteria and Requirements Page QCR-7 4.2 (a) Specific Experience	<p>Revised “4.2(a) Specific Experience” and “Note for the Applicant” are enclosed as “Attachment No.1” to this “Addendum No.16”.</p> <p><b>Replace</b></p> <p>A minimum number of two similar <b>(ii)</b> contracts that have been satisfactorily and substantially <b>(iii)</b> completed as a prime contractor (single entity or JV member) <b>(iv)</b> between 1st January 2006 and Application submission deadline.</p> <p><b>With</b></p> <p>Single entity or JV member <b>(iv)</b> have been satisfactorily and substantially <b>(iii)</b> completed as a</p>

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		<p>prime contractor at least</p> <p><b>One</b> similar<sup>(ii)</sup> contract of minimum <b>170 metro cars</b> or</p> <p><b>Two</b> similar<sup>(ii)</sup> contracts of minimum <b>110 metro cars</b> each or</p> <p><b>Three</b> similar<sup>(ii)</sup> contracts of minimum <b>80 metro cars</b> each</p> <p>between 1<sup>st</sup> January 2007 and Application submission deadline.</p>
10	<p>Section III Qualification Criteria and Requirements  Page QCR-7  4.2 (b) Specific Experience –Delivery Record</p>	<p>Revised “4.2(b) Specific Experience-Delivery Record” is enclosed as “Attachment No.1” to this “Addendum No.16”.</p> <p><b>Replace</b>  For the above and other Contracts completed and under implementation as prime contractor (single entity or JV member)<sup>(iv)</sup>, for the last ten (10) years, starting <b>1st January 2006</b>, to have delivery (i.e. vehicle design, manufacture, supply, integration, testing &amp; commissioning and interface with other designated contractors) record of more than <b>300 metro cars</b> (i.e. MRT, LRT, suburban railway or high speed railway). Out of which minimum 200 cars shall be of either stainless steel or aluminum.</p> <p>And</p> <p><b>150 cars</b> out of above 300 cars must be operating satisfactorily against more than one contract in at least one country other than the country of manufacture or in India for last five (5) years starting from 1st January 2011.</p> <p><b>With</b>  For the above and other Contracts completed and under implementation as prime contractor (single entity or JV member)<sup>(iv)</sup>, for the last ten (10) years, starting <b>1st January 2007</b>, to have delivery (i.e. vehicle design, manufacture, supply, integration, testing &amp; commissioning and interface with other designated contractors) record of <b>260 or more metro cars</b> (i.e. MRT, LRT, suburban railway or high speed railway). Out of which minimum 200 cars shall be of either stainless steel or aluminum.</p> <p>And</p> <p>Out of <b>260 or more metro cars</b> delivered (i.e. vehicle design, manufacture, supply, integration, testing &amp; commissioning and interface with other designated Contractors) as above, <b>minimum 130 metro cars</b> (i.e. MRT, LRT, Sub-urban Railway or high speed railway) in total shall have completed</p>

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		<p>satisfactory revenue operation for at least five (5) years between <b>1<sup>st</sup> January 2012</b> and Application submission deadline:</p> <p><b><u>EITHER</u></b> outside the country of manufacture</p> <p><b><u>OR</u></b> in India</p> <p>Against more than one (1) Contract in MRT, LRT, Sub-urban Railway or high speed railway.</p>
11	<p>Section III Qualification Criteria and Requirements  Page QCR-8  4.2 (c) Specific Experience – Propulsion System</p>	<p>Revised “4.2(c) Specific Experience-Propulsion System” is enclosed as “Attachment No.1” to this “Addendum No.16”.</p> <p><b>Replace</b></p> <p>As prime contractor (single entity or JV member), management contractor <sup>(i)</sup> or sub-contractor, to have cumulative experience of minimum ten (10) years in design and manufacturing of propulsion equipment (Traction Converter - Inverter and Traction Induction Motor) and Auxiliary Converter/Inverter.</p> <p>And</p> <p>Propulsion equipment and Auxiliary Converter/Inverter shall have been supplied for more than 300 metro (i.e. MRT, LRT, sub- urban railway or high speed railways) cars, which have been in revenue operation for at least five (5) years against minimum five (5) different Contracts in the metros of at least one country other than the country of manufacture or in India.</p> <p><b>With</b></p> <p>As prime contractor (single entity or JV member), management contractor <sup>(i)</sup> or sub-contractor, to have minimum experience of ten (10) years, starting <b>1<sup>st</sup> January 2007</b>, in design and manufacturing of propulsion equipment (Traction Converter - Inverter and Traction Induction Motor) and Auxiliary Converter/Inverter.</p> <p>And</p> <p>Propulsion equipment and Auxiliary Converter/Inverter shall have been supplied for more than 300 metro (i.e. MRT, LRT, sub- urban railway or high speed railways) cars, which have</p>

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		been in revenue operation for last five (5) years starting from <b>1st January 2012</b> , against minimum five (5) different Contracts in the metros of at least one country other than the country of manufacture or in India.
12	Section III Qualification Criteria and Requirements Page QCR-9, Notes for the Applicant	<p>Revised “Notes for the Applicant” is enclosed as “Attachment No.1” to this “Addendum No.16”.</p> <p><b>Replace</b>  <u>Notes for the Applicant</u></p> <p>(ii) The similarity shall be based on the order size (at least 150 metro cars, i.e. MRT, LRT, suburban railway or high speed railways) and type of the contract (Design, manufacture, supply, installation, testing and commissioning). Summation of number of small value contracts (less than the value specified under requirement) to meet the overall requirement will not be accepted.</p> <p><b>With</b>  <u>Notes for the Applicant</u></p> <p>(ii) The similarity shall be based on type of the Contract (Design, manufacture, supply, installation, testing and commissioning) of metro cars (i.e. MRT, LRT, suburban railway or high speed railway). Summation of number of small value contracts (less than the value specified under requirement) to meet the overall requirement will not be accepted.</p>
13	Section IV – Application Forms Page AF-7 Form CON 2 :Historical Contract Non-Performance	<p><b>Replace</b></p> <p>Form CON 2 :Historical Contract Non-Performance</p> <p><b>With</b></p> <p>“Attachment-2” to this “Addendum No. 16”</p>
14	Section IV – Application Forms Page AF-12 Form FIN 3.2 :Average Annual Turnover	<p><b>Replace</b></p> <p>Form FIN 3.2 :Average Annual Turnover</p> <p><b>With</b></p>

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		“Attachment-3” to this “Addendum No. 16”
15	Section IV – Application Forms Page AF-13 Form FIN 3.3 :Liquidity Position	<b>Replace</b> Form FIN 3.3 :Liquidity Position  <b>With</b> “Attachment-4” to this “Addendum No. 16”
16	Section IV – Application Forms Page AF-15 Form EXP 4.1 :General Construction Experience	<b>Replace</b> Form EXP 4.1 :General Construction Experience  <b>With</b> “Attachment-5” to this “Addendum No. 16”
17	Section VI – Scope of Works Page SOW-3 1. Description of the Works	<b>Replace</b>  <b>1. Description of the Works</b>  A. The Scope of Works comprises the design, manufacture, supply, testing and commissioning of 35 x 6 car trains of Rolling Stock including the training of operation and maintenance personnel of the Employer/O&M Contractor. Quantity given above may increase at the RFP/tendering stage in case Aarey-Kanjurmarg line is sanctioned/ included. The scope shall broadly include:  i. 6 car train formation with 66.6% motorization. This configuration must be designed (having technical compatibility) and manufactured to be upgradable in future (by others) to 8 car configuration.  ii. The Comprehensive Maintenance for the “Propulsion System including Train Control” for tentatively 900,000 km, or 5 years, whichever is later i.e. up to the completion of first major periodic overhaul excluding DLP period. Scope of maintenance work including vital terms & specific period shall be included in the tender document.  <b>With</b>



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		<p align="center"><b>1. Description of the Works</b></p> <p>A. The Scope of Works comprises the design, manufacture, supply, testing and commissioning of approximately 210 metro cars (in 8-car train configuration) including the training of operation and maintenance personnel of the Employer/O&amp;M Contractor. Quantity given above is tentative and may increase at the RFP/tendering stage. Maximum numbers of 48 cars (out of 210 cars to be manufactured) can be manufactured in the offshore factory outside India. Balance cars shall be manufactured in India which may include manufacturing by sub-contractors of the bidder.</p> <p>The scope shall broadly include:</p> <ol style="list-style-type: none"> <li>i. 8 car train formation with 75% motorization.</li> <li>ii. The Comprehensive Maintenance services for “the period of 12 years” or “10, 00,000 Kms. for each train and completion of Periodic Overhaul (POH) + 90 days for each train” (whichever is earlier out of two). Scope of maintenance work including vital terms &amp; specific period shall be included in the bid document.</li> </ol>				
18	Section VI – Scope of Works Page SOW-4 1. Description of the Works	<p><b>Replace</b></p> <table border="1" data-bbox="827 854 1940 954"> <tr> <td data-bbox="827 854 1094 954">Passenger capacity</td> <td data-bbox="1094 854 1940 954">Minimum passenger capacity shall be approx. 2270 in 6-car train and approx. 3040 in 8-car train with all seating and 8 passenger/m<sup>2</sup> Standees.</td> </tr> </table> <p><b>With</b></p> <table border="1" data-bbox="827 1024 1940 1089"> <tr> <td data-bbox="827 1024 1094 1089">Passenger capacity</td> <td data-bbox="1094 1024 1940 1089">Minimum passenger capacity shall be approx. 3000 passengers in 8-car train with all seating and 8 passenger/m<sup>2</sup> Standees.</td> </tr> </table>	Passenger capacity	Minimum passenger capacity shall be approx. 2270 in 6-car train and approx. 3040 in 8-car train with all seating and 8 passenger/m <sup>2</sup> Standees.	Passenger capacity	Minimum passenger capacity shall be approx. 3000 passengers in 8-car train with all seating and 8 passenger/m <sup>2</sup> Standees.
Passenger capacity	Minimum passenger capacity shall be approx. 2270 in 6-car train and approx. 3040 in 8-car train with all seating and 8 passenger/m <sup>2</sup> Standees.					
Passenger capacity	Minimum passenger capacity shall be approx. 3000 passengers in 8-car train with all seating and 8 passenger/m <sup>2</sup> Standees.					

Eligibility and Qualification Criteria			Compliance Requirements				Documentation
No.	Factor	Requirement	Single Entity	Joint Venture (existing or intended)			Submission Requirements
				All Parties Combined	Each Member	One Member	
<b>1. Eligibility</b>							
1.1	<b>Nationality</b>	Nationality in accordance with ITA Sub-Clause 4.3	Must meet requirement	N/A	Must meet requirement	N/A	Forms ELI – 1.1 and 1.2, with attachments
1.2	<b>Conflict of Interest</b>	No conflicts of interest in ITA Sub-Clauses 4.4, 4.5 and 4.6	Must meet requirement	N/A	Must meet requirement	N/A	Application Submission Form
1.3	<b>JICA Ineligibility</b>	Not having been declared ineligible by JICA, as described in ITA Sub-Clause 4.7	Must meet requirement	N/A	Must meet requirement	N/A	Application Submission Form Form ACK
<b>2. Historical Contract Non-Performance</b>							
2.1	<b>History of Non-Performing Contracts</b>	Non-performance of a contract <sup>(i)</sup> did not occur as a result of contractor's default since 1 <sup>st</sup> January 2015.	Must meet requirement <sup>(ii)</sup>	N/A	Must meet requirement <sup>(ii)</sup>	N/A	Form CON – 2
2.2	<b>Pending Litigation</b>	All pending litigation shall in total not represent more than 50 % of the Applicant's net worth and shall be treated as resolved against the Applicant.	Must meet requirement <sup>(ii)</sup>	N/A	Must meet requirement <sup>(ii)</sup>	N/A	Form CON – 2

Eligibility and Qualification Criteria			Compliance Requirements				Documentation
No.	Factor	Requirement	Single Entity	Joint Venture (existing or intended)			Submission Requirements
				All Parties Combined	Each Member	One Member	
2.3	<b>Litigation History</b>	No consistent history of court/arbitral award decisions <sup>(iv)</sup> against the Applicant <sup>(iii)</sup> since 1 <sup>st</sup> January 2012.	Must meet requirement <sup>(ii)</sup>	N/A	Must meet requirement <sup>(ii)</sup>	N/A	Form CON – 2
<p><u>Notes for the Applicant</u></p> <p>(i) Non-performance, as decided by the Employer, shall include all contracts</p> <p>(a) where non-performance was not challenged by the contractor, including through referral to the dispute resolution mechanism under the respective contract, and</p> <p>(b) that were so challenged but fully settled against the contractor.</p> <p>Non-performance shall not include contracts where Employer’s decision was overruled by the dispute resolution mechanism. Non-performance must be based on all information on fully settled disputes or litigation, i.e. dispute or litigation that has been resolved in accordance with the dispute resolution mechanism under the respective contract and where all appeal instances available to the Applicant have been exhausted.</p> <p>(ii) This requirement also applies to contracts executed by the Applicant as a JV member.</p> <p>(iii) The Applicant shall provide accurate information on the related Application Form about any litigation or arbitration resulting from contracts completed or ongoing under its execution over the last five (5) years. A consistent history of awards against the Applicant or any member of a joint venture may result in failure of the Application.</p> <p>(iv) The occurrence of one (1) or two (2) adverse cases over five (5) years for a Contractor handling, on average, ten (10) similar contracts simultaneously, should not be a cause for rejection.</p>							

No.	Factor	Requirement	Single Entity	Joint Venture (existing or intended)			Submission Requirements
				All Parties Combined	Each Member	One Member	
<b>3. Financial Situation</b>							
3.1	<b>Financial Performance</b>	<p>The audited balance sheets or, if not required by the laws of the Applicant's country, other financial statements acceptable to the Employer, for the last 5 years ending <b>31<sup>st</sup> March 2016<sup>(i)</sup></b> for the countries where the financial year ending on 31<sup>st</sup> March, or for the last 5 years ending <b>31<sup>st</sup> December 2015<sup>(i)</sup></b> for the countries where the financial year ending on 31<sup>st</sup> December shall be submitted and must demonstrate the current soundness of the Applicant's financial position and indicate its prospective long-term profitability.</p> <p>As the minimum requirement, an Applicant's net worth calculated as the difference between total assets and total liabilities should be positive.</p>	Must meet requirement	N/A	Must meet requirement	N/A	Form FIN – 3.1 with attachments

3.2	<b>Average Annual Turnover</b>	The minimum average annual Construction turnover of US\$ 160 million calculated <sup>(ii)</sup> as total certified payments received for contracts in progress and/ or completed, within the last five years ending on <b>31<sup>st</sup> March 2016</b> <sup>(i)</sup> for the countries where the financial year ending on 31st March, Or ending <b>31<sup>st</sup> December 2015</b> <sup>(i)</sup> for the countries where the financial year ending on 31st December.	Must meet requirement	Must meet requirement	Must meet 25% of the requirement	Must meet 40% of the requirement	Form FIN – 3.2
3.3	<b>Liquidity Position</b>	The total amount, <b>USD 55 million</b> , of liquid assets and lines of credit during the construction period.	Must meet requirement	Must meet requirement	Must meet 25% of the requirement	Must meet 40% of the requirement	Form FIN – 3.3
<b>Notes for the Applicant</b>							
<p>(i) Wherever the audited Financial Statement of Financial Year ending 31st March 2017 or ending 31st December 2016 is available, the same will be considered.</p> <p>(ii) To bring the contract values at par, Turnover values will be calculated by assuming 5% inflation per annum for Indian Rupees and 2% escalation per annum for foreign currency for first four years of turnover values.</p>							

No.	Factor	Requirement	Single Entity	Joint Venture (existing or intended)			Submission Requirements
				All Parties Combined	Each Member	One Member	
<b>4. Experience</b>							
4.1	<b>General Construction Experience</b>	Experience under Construction contracts in the role of prime contractor (single entity or JV member), subcontractor or management contractor <sup>(i)</sup> for at least the last ten (10) years, starting 1 <sup>st</sup> January 2007.	Must meet requirement	N/A	Must meet requirement	N/A	Form EXP – 4.1
4.2 (a)	<b>Specific Experience</b>	Single entity or JV member <sup>(iv)</sup> have been satisfactorily and substantially <sup>(iii)</sup> completed as a prime contractor at least  <b>One</b> similar <sup>(ii)</sup> contract of minimum <b>170 metro cars</b> or  <b>Two</b> similar <sup>(ii)</sup> contracts of minimum <b>110 metro cars</b> each or  <b>Three</b> similar <sup>(ii)</sup> contracts of minimum <b>80 metro cars</b> each  between 1 <sup>st</sup> January 2007 and Application submission deadline.	Must meet requirement	Must meet requirement <sup>(vi)</sup>	N/A	N/A	Form EXP – 4.2(a)

No.	Factor	Requirement	Single Entity	Joint Venture (existing or intended)			Submission Requirements
				All Parties Combined	Each Member	One Member	
4.2 (b)	<p><b>Specific Experience – Delivery Record</b></p> <p><b>And Operational Performance</b></p>	<p>For the above and other Contracts completed and under implementation, as prime contractor (single entity or JV member) <b>(iv)</b>, for the last ten (10) years, starting 1st January 2007, to have delivery (i.e. vehicle design, manufacture, supply, integration, testing &amp; commissioning and interface with other designated contractors) record of 260 or more metro cars (i.e. MRT,LRT, suburban railway or high speed railway). Out of which minimum 200 cars shall be of either stainless steel or aluminum.</p> <p>And</p> <p>Out of 260 or more metro cars delivered (i.e. vehicle design, manufacture, supply, integration, testing &amp; commissioning and interface with other designated Contractors) as above, minimum 130 metro cars (i.e. MRT, LRT, Sub-urban Railway or high speed railway) in total shall have completed satisfactory revenue operation for at least five (5) years between <b>1<sup>st</sup> January 2012</b> and Application submission deadline:</p> <p><b><u>EITHER</u></b> outside the country of</p>	Must meet requirement	Must meet requirement	N/A	N/A	Form EXP – 4.2(b)

No.	Factor	Requirement	Single Entity	Joint Venture (existing or intended)			Submission Requirements
				All Parties Combined	Each Member	One Member	
		<p>manufacture</p> <p><b>OR</b> in India</p> <p>Against more than one (1) Contract in MRT, LRT, Sub-urban Railway or high speed railway.</p>					
4.2 (c)	<b>Specific Experience – Propulsion System</b>	<p>As prime contractor (single entity or JV member), management contractor <sup>(i)</sup> or sub-contractor, to have minimum experience of ten (10) years, starting <b>1<sup>st</sup> January 2007</b>, in design and manufacturing of propulsion equipment (Traction Converter - Inverter and Traction Induction Motor) and Auxiliary Converter/Inverter.</p> <p>And</p> <p>Propulsion equipment and Auxiliary Converter/Inverter shall have been supplied for more than 300 metro (i.e. MRT, LRT, sub-urban railway or high speed railways) cars, which have been in revenue operation for last five (5) years starting from <b>1<sup>st</sup> January 2012</b>, against minimum five (5) different Contracts in the metros of at least one country other than the country of manufacture or in</p>	<p>Must meet requirement</p> <p><b>(v)</b></p> <p>(can be a specialist subcontractor)</p>	<p>Must meet requirement</p> <p><b>(v)</b></p> <p>(can be a specialist subcontractor)</p>	N/A	N/A	Form EXP – 4.2 (c)



No.	Factor	Requirement	Single Entity	Joint Venture (existing or intended)			Submission Requirements
				All Parties Combined	Each Member	One Member	
		India.					

Notes for the Applicant

- (i) A management contractor is a firm which takes on the role of contract management as a “general” contractor of sort could do. It does not normally perform directly the construction work(s) associated with the contract. Rather, it manages the work of other (sub) contractors while bearing full responsibility and risk for price, quality, and timely performance of the work contract.
- (ii) The similarity shall be based on type of the contract (Design, manufacture, supply, installation, testing and commissioning) of metro cars (i.e. MRT, LRT, suburban railway or high speed railway). Summation of number of small value contracts (less than the value specified under requirement) to meet the overall requirement will not be accepted.
- (iii) Substantial completion shall be based on 80% or more of the works completed under the contract.
- (iv) For contracts under which the Applicant participated as a JV, only the Applicant’s share, by value, shall be considered to meet this requirement.
- (v) Only actual execution of the applicant or its sub-contractor shall be countable for evaluation.
- (vi) In case of a JV, the value of contracts completed by its members shall not be aggregated to determine whether the requirement of the minimum value of a single contract has been met. Instead, each contract performed by each member shall satisfy the minimum value of a single contract as required for single entity. In determining whether the JV meets the requirement of total number of contracts, only the number of contracts completed by all members, each of value equal or more than the minimum value required, shall be aggregated.

**Form CON - 2**  
**Historical Contract Non-Performance**

*[The following table shall be filled in for the Applicant and for each member of a JV]*

Date: *[insert day, month, year]*

Applicant's Legal Name: *[insert full name]*

Applicant's Party Legal Name :*[insert full name]*

IFP No.: *MM3-CBS-RS*

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

**1. History of Non-Performing Contracts**

<b>Non-Performing Contracts</b>			
<input type="checkbox"/> Contract non-performance did not occur since 1 <sup>st</sup> January 2015, in accordance with Section III, Qualification Criteria and Requirements, Sub-Factor 2.1.			
<input type="checkbox"/> Contract(s) not performed since 1 <sup>st</sup> January 2015 in accordance with Section III, Qualification Criteria and Requirements, Sub-Factor 2.1 as indicated below.			
Year	Non performed portion of contract	Contract Identification	Total Contract Amount (current value, currency, exchange rate and USD equivalent)
<i>[insert year]</i>	<i>[insert amount and percentage]</i>	Contract Identification: <i>[indicate complete contract name, number, and any other identification]</i> Name of Employer: <i>[insert full name]</i> Address of Employer: <i>[insert street/city/country]</i> Reason(s) for non-performance: <i>[indicate main reason(s)]</i>	<i>[insert amount]</i>

**2. Pending Litigation**

<b>Pending Litigation</b>				
<input type="checkbox"/> No pending litigation in accordance with Section III, Qualification Criteria and Requirements, Sub-Factor 2.2.				
<input type="checkbox"/> Pending litigation in accordance with Section III, Qualification Criteria and Requirements, Sub-Factor 2.2 as indicated below.				
<b>Year of dispute</b>	<b>Amount in dispute</b>	<b>Outcome as Percentage of Net Worth</b>	<b>Contract Identification</b>	<b>Total Contract Amount (current value, currency, exchange rate and USD equivalent)</b>
<i>[insert year]</i>	<i>[insert amount]</i>	<i>[insert percentage]</i>	Contract Identification: <i>[indicate complete contract name, number, and any other identification]</i> Name of Employer: <i>[insert full name]</i> Address of Employer: <i>[insert street/city/country]</i> Matter in dispute: <i>[indicate main issues in dispute]</i> Status of dispute: <i>[Indicate if it is being treated by the Adjudicator, under Arbitration or being dealt with by the Judiciary]</i>	<i>[insert amount]</i>

**3. Litigation History**

<b>Litigation History</b>		
<input type="checkbox"/> No court/arbitral award decisions against the Applicant since 1 <sup>st</sup> January 2012, in accordance with Section III, Qualification Criteria and Requirements, Sub-Factor 2.3.		
<input type="checkbox"/> Court/ arbitral award decisions against the Applicant since 1 <sup>st</sup> January 2012, in accordance with Section III, Qualification Criteria and Requirements, Sub-Factor 2.3 as indicated below.		
<b>Year of award</b>	<b>Contract Identification</b>	<b>Total Contract Amount (current value, currency, exchange rate and USD equivalent)</b>
<i>[insert year]</i>	Contract Identification: <i>[indicate complete contract name, number, and any other identification]</i> Name of Employer: <i>[insert full name]</i> Address of Employer: <i>[insert street/city/country]</i> Matter in dispute: <i>[indicate main issues in dispute]</i> Party who initiated the dispute: <i>[indicate "Employer" or "Contractor"]</i> Status of dispute: <i>[indicate if it is being treated by the Adjudicator, under Arbitration or being dealt with by the Judiciary]</i>	<i>[insert amount]</i>

**Form FIN - 3.2**  
**Average Annual Turnover**

*[The following table shall be filled in for the Applicant and for each member of a JV]*

Date: *[insert day, month, year]*

Applicant's Legal Name: *[insert full name]*

Applicant's Party Legal Name: *[insert full name]*

IFP No.: *MM3-CBS-RS*

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

<b>Annual Turnover Data As a Prime Contractor (defined as certified payments received for Construction contracts in progress and/or completed)</b>			
<b>Year</b>	<b>Amount and Currency</b>	<b>Exchange Rate*</b>	<b>USD Equivalent</b>
<i>[indicate year]</i>	<i>[insert amount and indicate currency]</i>	<i>[insert applicable exchange rate]</i>	<i>[insert amount in USD equivalent]</i>
<b>Average Annual Turnover **</b>			

\* Refer to ITA 13.2 for date and source of exchange rate.

\*\* Total USD equivalent for all years divided by the total number of years. See Section III, Qualification Criteria and Requirements, Sub-Factor 3.2.

**Form FIN- 3.3: Liquidity Position**

[The following table shall be filled in by the Bidder and by each member of a JV.]

Date: [insert day, month, year]

Bidder's Legal Name:[insert full name]

Joint Venture Party Legal Name:[insert full name]

IFP No.: MM3-CBS-RS

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<b>Liquidity Position Data</b>				
<b>Month/Year</b>	<b>Source of Financing</b>	<b>Amount and Currency</b>	<b>Exchange Rate*</b>	<b>USD Equivalent</b>
<i>[indicate month/year]</i>	<i>[indicate source of financing]</i>	<i>[insert amount and indicate currency]</i>	<i>[insert applicable exchange rate]</i>	<i>[insert amount in USD equivalent]</i>

- Liquid assets and unused Line of Credit  
(Please extend this table as required)

\* Date of Exchange rate: 31-12-2016

Source of Exchange rate: The source for determining exchange rate is **Reserve Bank of India** reference rate (foreign currency).If the source of the exchange rate for the Bidder's proposed currency cannot be found in the Reserve Bank of India reference rate (foreign currency), then with the Employer's concurrence, the rate in the web site; **www.xe.com** may be used.

Applicants are required to submit a bank reference letter from a reputable commercial bank to the effect that such bank certifies the financial capability of the applicants to meet their financial obligation to perform the said contract and considers to issue a specific line of credit when and if the contract is awarded to the applicants.

[The following table shall be filled in by the Applicant and by each member of a JV.]

(Bank letter head)

Ref No:-

*[insert day, month, year]*

Date:

Managing Director, MMRC  
MMRDA, Bandra Kurla Complex, Bandra (East), City: Mumbai  
Post Code: 400 051  
Republic of India

Dear Sir

Sub: Evidence of access to working Capital limit to *{Bidder's Legal Name: [insert full name]}* in connection with their bid for Design, manufacture, supply, installation, testing and commissioning of Rolling Stock (Pre-qualification No:-MM3-CBS-RS)

We understand from *{Bidder's Legal Name: [insert full name and address]}*, one of the reputed customers of our Branch, that they are submitting their Bid for Design, manufacture, supply, installation, testing and commissioning of Rolling Stock (Invitation for Bid No.:MM3-CBS-RS).

Further, we understand from *{Bidder's Legal Name: [insert full name]}* that they are required to submit a letter from their bankers confirming availability of Working Capital support / Line of Credit i.e. Overdraft to the extent of *{(INR/USD/EURO/YEN i.e.Rs. XXX crores)}* as required until completion of Contract as per the details given below:

Sr.No.	Particulars	Amount Rs. Crores	Remarks
Total:			

We wish to inform you that the Company is one of our Prime customers of our Branch. The company is enjoying total Working Capital limits i.e. Cash Credit limit of *{(INR/USD/EURO/YEN i.e. Rs. XXX crores)}* and the Guarantee / Letters of Credit limit of *{(INR/USD/EURO/YEN i.e.Rs. XXX crores)}* from Banking System under the system arrangement.

In this connection, we shall provide necessary Working Capital support i.e. Overdraft to the extent of *{(INR/USD/EURO/YEN i.e Rs.XXX crores)}* as per terms applicable for such limits within the consortium. The above Credit facility proposed until completion of Contract to be extended to the bidder shall be subject to due diligence and approvals from our sanctioning authorities.

Yours Sincerely

{Bank Name}

.....

Banker's authorised representative information

Name: *[insert full name]*Address: *[insert street/ number/ town or city/ country]*Telephone/Fax numbers: *[insert telephone/fax numbers, including country and city codes]*E-mail address: *[insert E-mail address]*

**Form EXP - 4.1**  
**General Construction Experience**

*[The following table shall be filled in for the Applicant and for each member of a JV]*

Date: *[insert day, month, year]*

Applicant's Legal Name: *[insert full name]*

Applicant's Party Legal Name: *[insert full name]*

IFP No.: *MM3-CBS-RS*

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*[Identify contracts that demonstrate continuous construction work over the past ten [10] years pursuant to Section III, Qualification Criteria and Requirements, Sub-Factor 4.1. List contracts chronologically, according to their commencement (starting) dates.]*

<b>General Construction Experience</b>			
<b>Starting Year</b>	<b>Ending Year</b>	<b>Contract Identification</b>	<b>Role of Applicant</b>
<i>[indicate year]</i>	<i>[indicate year]</i>	Contract name: <i>[insert full name]</i> Brief description of the Works performed by the Applicant: <i>[describe Works performed briefly]</i> Amount of contract: <i>[insert amount in currency, mention currency used, exchange rate and USD equivalent*]</i> Name of Employer: <i>[indicate full name]</i> Address: <i>[indicate street/number/town or city/country]</i>	<i>[insert "Prime Contractor (single entity or JV member)" or "Subcontractor" or "Management Contractor"]</i>

\* Refer to ITA 13.2 for date and source of exchange rate.



## Form DBR

*[The following statement shall be signed and stamped by the Applicant and by each member of a JV as well as any specialist Subcontractor proposed to be used by the Applicant for any part of the Contract resulting from this prequalification]*

By virtue of my signature below, I confirm that the Applicant represented by me for submitting Application [to Pre-qualify for Mumbai Metro Line-3 (Colaba-Bandra-SEEPZ) - Design, manufacture, supply, installation, testing and commissioning of Rolling Stock (MM3-CBS-RS)] is/is not **DEBARRED/BLACKLISTED** by Delhi Metro Rail Corporation and/or other Metro Rail Corporation chaired by Secretary of Ministry of Urban Development, Government of India as on the due date of submission of bid.

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

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

**NOTE:** Copy of the Notification of such Debarment/Blacklist shall be submitted in the Application, in the case the applicant is Debarred/Blacklisted.