

**MUMBAI METRO LINE 3 (COLABA-BANDRA-SEEPZ)
CONTRACT PACKAGE MM3-CBS-RS
Addendum No:-6**

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

Dated 23/06/2016

Sl. No.	Description and Clause No	Amendment
1	Prequalification Data Sheet ITA 4.1 Page PDS 2	<p>Replace</p> <p>An applicant should be either</p> <p style="padding-left: 40px;">a) An Indian Company incorporated under Companies Act, 2013</p> <p style="text-align: center;">OR</p> <p>A Foreign Company registered under relevant legislation in its country of origin and having permission to carry out business in India.</p> <p>With</p> <p>An applicant should be either</p> <p style="padding-left: 40px;">a) An Indian Company incorporated under Companies Act, 1956/2013</p> <p style="text-align: center;">OR</p> <p>A Foreign Company registered under relevant legislation in its country of origin and having permission to carry out business in India.</p>
2	Prequalification Data Sheet ITA 4.2 Page PDS 2	<p>Delete the following sentence</p> <p>The number of JV member shall be not more than three. In case of JV, the Lead Partner shall have at least 40% share.</p>
3	Prequalification Data Sheet ITA 5.1 Page PDS 2	<p>Replace</p> <p>“The documents will be available for a non-refundable fee of INR 2,500/- to be paid in the form of Demand Draft/Bankers Cheque from any Nationalised / Scheduled Bank in favour of “Mumbai Metro Rail Corporation Limited” payable at “Mumbai” at the office address mentioned above.”</p> <p>With</p> <p>“The documents will be available for a non-refundable fee of INR 2,500/- or US\$38 (Inclusive of MH VAT) to be paid in the form of Demand Draft/Bankers Cheque from any Nationalised /</p>

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		Scheduled Bank in favour of “Mumbai Metro Rail Corporation Limited” payable at “Mumbai” at the office address mentioned above.”
4	Prequalification Data Sheet ITA 6.1 Page PDS 3	<p>Replace</p> <p>“For clarification purposes only, the Employer's address is: Attention: (Mr.) R.K. Sharma, Executive Director (Elect.) R13 NAMTREE building E-Block, Bandra Kurla Complex, Bandra (East), Mumbai – 400 051, India, Telephone: +91 22 26384638 Facsimile number: +91 22 26592005”</p> <p>With</p> <p>“For clarification purposes only, the Employer's address is: Attention: (Mr.) Rajeev, General Manager (Rolling Stock) Mumbai Metro Rail Corporation, 5th Floor, ‘A’ Wing, Old MMRDA Building, E-Block Bandra Kurla Complex, Bandra (East), Mumbai – 400 051, India, E-mail: rajeev@mmrcl.com Telephone: +91 22 26597659 Facsimile number: +91 22 26597672”</p>
5	Clarification of Prequalification Documents ITA 6.1 Page ITA-6 Prequalification Data Sheet ITA 6.1 Page PDS 3	<p>Replace the below sentence of ITA 6.1</p> <p>“The Employer will respond in writing to any request for clarification provided that such request is received no later than fourteen (14) days prior to the deadline for submission of Applications.”</p> <p>With</p> <p>“The Employer will respond in writing to any request for clarification provided that such request is received no later than Twenty One (21) days prior to the deadline for submission of Applications.”</p>

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6	Documents Establishing the Qualifications of the Applicant ITA 13.2 Page PDS 3	<p>Replace the second paragraph of ITA 13.2 “For Construction turnover or financial data required for each year – Exchange rate prevailing on the last day of the respective calendar year.”</p> <p>With “For Construction turnover or financial data required for each year – Exchange rate prevailing on the last day of the respective calendar year for the countries where the financial year ending on 31st December and for the countries where the financial year ending on 31st March, the Exchange rate prevailing on the 31st December of the preceding year.”</p>
7	“Subcontractors” ITA 22.1 Page PDS 4	<p>Replace “Applicants shall clearly identify the proposed specialist subcontractor(s) in Forms ELI-1.2 and EXP -4.2(b) in Section IV, Application Forms”</p> <p>With “Applicants shall clearly identify the proposed specialist subcontractor(s) in Forms ELI-1.2 and EXP -4.2(c) in Section IV, Application Forms”</p>
8	“Changes in Qualification of Applicants” ITA28.1 Page PDS 4	<p>Replace the below sentence of ITA 28.1 Any change in the structure or formation of an Applicant as specified in the PDS after being prequalified in accordance with ITA 25 and invited to tender (including, in the case of a JV, any change in the structure or formation of any member thereto) shall be subject to a written approval of the Employer prior to the deadline for submission of Tenders.</p> <p>With Any change in the structure or formation of an Applicant as specified in the PDS after being prequalified in accordance with ITA 25 and invited to tender (including, in the case of a JV, any change in the structure or formation of any member or specialist sub-contractor thereto) shall be subject to a written approval of the Employer prior to the deadline for submission of Tenders.</p>
9	Documents Comprising the Application PDS ITA 10.1 (e) Page PDS-3	<p>Replace ““The Applicant shall submit with its Application, the following additional documents: NONE”</p> <p>With ““The Applicant shall submit with its Application, the following additional documents: Form FIN-3.1, Form FIN-3.2 is duly filled shall be self-certified and certified by certified</p>

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		<p>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>
10	Documents Establishing the Qualifications of the Applicant ITA 13.2 PDS, Page PDS-3	<p>Replace “The source for determining exchange rates is Reserve Bank of India/ State Bank of India.”</p> <p>With “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.”</p>
11	Section III Qualification Criteria and Requirements Page QCR-3 2.1 History of Non-Performing Contracts	<p>Revised “2.1 History of Non-Performing Contracts” is enclosed as “Attachment No. 1” to this “Addendum No. 6”.</p> <p>Replace Non-performance of a contract ⁽ⁱ⁾ did not occur as a result of contractor’s default since 1st January 2013.</p> <p>With Non-performance of a contract ⁽ⁱ⁾ did not occur as a result of contractor’s default since 1st January 2014.</p>
12	Section III Qualification Criteria and Requirements Page QCR-4 2.3 Litigation History	<p>Revised “2.3 Litigation History” is enclosed as “Attachment No. 1” to this “Addendum No. 6”.</p> <p>Replace No consistent history of court/arbitral award decisions (iv) against the Applicant (iii) since 1st January 2010.</p> <p>With No consistent history of court/arbitral award decisions (iv) against the Applicant (iii) since 1st January 2011.</p>
13	Section III Qualification Criteria and	Revised “3.1 Financial Performance” is enclosed as “Attachment No.1” to this “Addendum

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	<p>Requirements Page QCR-5 3.1 Financial Performance</p>	<p>No.6”.</p> <p>Replace</p> <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 31st March 2015 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> <p>With</p> <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 31st March 2015⁽ⁱ⁾ for the countries where the financial year ending on 31st March⁽ⁱ⁾, or for the last 5 years ending 31st December 2015 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>
14	<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.6”.</p> <p>Replace</p> <p>The average annual turnover as a prime contractor (defined as billing for Railway Systems contracts in progress or completed) over the last 5 financial years (i.e. financial years whose ending dates are between April 1, 2010 to March 31, 2015) must be at least US\$ 215 million or the equivalent thereof.</p> <p>With</p> <p>The minimum average annual Railway Systems turnover of US\$ 160 million calculated ⁽ⁱⁱ⁾ as total certified payments received for contracts in progress and/ or completed, within the last five years ending on 31st March 2015⁽ⁱ⁾ for the countries where the financial year ending on 31st March⁽ⁱ⁾, Or ending 31st December 2015 for the countries where the financial year ending on 31st December.</p>
15	<p>Section III Qualification Criteria and Requirements Page QCR-6 3.3 Liquidity Position</p>	<p>Replace</p> <p>The total amount, USD 55 million, of liquid assets and lines of credit during the duration of contract.</p> <p>With</p> <p>The total amount, USD 55 million, of liquid assets and lines of credit during the</p>

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		construction period.
16	Section III Qualification Criteria and Requirements Page QCR-6 3.1 Financial Performance 3.2 Average Annual Turnover 3.3 Liquidity Position	Refer "Attachment No. 1" to this "Addendum No. 6" Add Notes for the Applicant (i) Wherever the audited Financial Statement of Financial Year ending 31st March 2016 is available, the same will be considered. (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.
17	Section III Qualification Criteria and Requirements Page QCR-7 4.1 General Railway Systems Experience	Revised "4.1 General railway Systems Experience" is enclosed as "Attachment No.1" to this "Addendum No.6". Replace Experience in the role of prime contractor (single entity or JV member), subcontractor or management contractor (i) for at least the last ten (10) years, starting 1 st January 2005. With Experience under Railway Systems contracts in the role of prime contractor (single entity or JV member), subcontractor or management contractor (i) for at least the last ten (10) years, starting 1 st January 2006.
18	Section III Qualification Criteria and Requirements Page QCR-7 4.2 (a) Specific Experience	Revised "4.2(a) Specific Experience" and "Note (ii)" is enclosed as "Attachment No.1" to this "Addendum No.6". Replace A minimum number of two similar (ii) contracts that have been satisfactorily and substantially (iii) completed as a prime contractor (single entity or JV member) (iv) between 1st January 2005 and Application submission deadline. With A minimum number of two similar (ii) contracts that have been satisfactorily and substantially (iii) completed as a prime contractor (single entity or JV member) (iv) between 1st January 2006 and Application submission deadline.
19	Section III Qualification Criteria and Requirements Page QCR-7	Revised "4.2(b) Specific Experience-Delivery Record" is enclosed as "Attachment No.1" to this "Addendum No.6".

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	<p>4.2 (b) Specific Experience –Delivery Record</p>	<p>Replace</p> <p>As prime contractor, for the last ten (10) years, starting 1st January 2005, to have delivery record of more than 300 metro (i.e. MRT,LRT, sub- urban railway or high speed railways) cars. Out of which minimum 200 cars shall be of either stainless steel or aluminum and with comparable features and of similar complexity of operations ^(v).</p> <p>And</p> <p>150 cars out of above 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.</p> <p>With</p> <p>For the above and other Contracts completed and under implementation as prime contractor (single entity or JV member) (iv), for the last ten (10) years, starting 1st January 2006, to have delivery (i.e. vehicle design, manufacture, supply, integration, testing & commissioning and interface with other designated contractors) record of more than 300 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>150 cars 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>20</p>	<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.6”.</p> <p>Replace</p> <p>As prime contractor, management contractor ⁽ⁱ⁾ 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>With</p> <p>As prime contractor (single entity or JV member), management contractor ⁽ⁱ⁾ or sub-contractor,</p>

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		<p>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>
21	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.6”.</p> <p>Replace</p> <p><u>Notes for the Applicant</u></p> <ul style="list-style-type: none"> (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 the physical 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), which refer to Section VI, Scope of Works, excluding Post DLP core maintenance service. 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/consortium member, only the Applicant’s share, by value, shall be considered to meet this requirement. (v) Comparable features and of similar complexity of operations shall be evaluated based on PHPDT forecast and Planned Headway in Year 2031 given in Section VI, Scope of Works. (vi) Lead firm shall meet 50% of the requirement. (vii) Only actual execution of the applicant or its sub-contractor shall be countable for

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		<p>evaluation.</p> <p>(viii) In case the Applicant sublets some or all components for propulsion equipment and Auxiliary Converter/Inverter, the information on such proposed subcontractor(s), including MOU, shall be submitted for evaluation of prequalification. The Applicant may propose several potential subcontractors. However, the Applicant shall employ the subcontractor(s) qualified during PQ stage.</p> <p>With</p> <p>(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.</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>(iii) Substantial completion shall be based on 80% or more of the works completed under the contract.</p> <p>(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.</p> <p>(v) Only actual execution of the applicant or its sub-contractor shall be countable for evaluation.</p> <p>(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.</p>
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22	Section IV – Application Forms Page AF-13 Form FIN-3.3 : Liquidity Position	<p>Revised “Form FIN-3.3: Liquidity Position” is enclosed as “Attachment No.2” to this “Addendum No.6”.</p> <p>Add as follows in the FIN-3.3 : Liquidity Position</p> <ul style="list-style-type: none"> • Liquid assets and unused Line of Credit <p>(Please extend this table as required)</p> <p>* Date of Exchange rate: 31-12-2015</p> <p>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.</p> <p>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.</p> <p><i>[The following table shall be filled in by the Applicant and by each member of a JV.]</i></p>
23	Section IV Application Form Page AF-14 - Bank Format for Liquidity Position	<p>Replace “(Rs. Amount i.e. XXX…….)</p> <p>With “(INR/USD/EURO/YEN i.e. XXX…….)</p>
24	Form ACK “Acknowledgement of Compliance with Guidelines for Procurement under Japanese ODA Loans”	<p>Revised “Form ACK “Acknowledgement of Compliance with Guidelines for Procurement under Japanese ODA Loans”” is enclosed as “Attachment No.3” to this “Addendum No.6”.</p> <p>Replace (2) JICA XX office Tel:</p> <p>With (2) JICA India office,</p>

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		<p>2nd Floor, Dr. Gopal Das Bhawan, 28, Barakhambha Road, New Delhi – 110001 Tel: +91 11 47685500 FAX: +91 11 47685555 URL: http://www.jica.go.jp/</p>
25	<p>Section VI Scope of Works 1. Description of Works B (ii)</p>	<p>Replace The Rolling Stock shall be of modern design, lightweight, made of stainless steel/aluminum, with 3 phase AC drive having VVVF control, regenerative braking and suitable for ATP, ATO, CBTC provided by other Contractors.</p> <p>With The Rolling Stock shall be of modern design, lightweight, made of stainless steel/aluminum, with 3 phase AC drive having VVVF control, regenerative braking and suitable for ATP, ATO, CBTC provided by other Contractors. Rolling Stock shall comply with GoA4 (Grade of Automation) requirements, however passenger operations shall start in GoA2 initially.</p>

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	
1. Eligibility							
1.1	Nationality	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	Conflict of Interest	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	JICA Ineligibility	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
2. Historical Contract Non-Performance							
2.1	History of Non-Performing Contracts	Non-performance of a contract ⁽ⁱ⁾ did not occur as a result of contractor's default since 1 st January 2014.	Must meet requirement ⁽ⁱⁱ⁾	N/A	Must meet requirement ⁽ⁱⁱ⁾	N/A	Form CON – 2
2.2	Pending Litigation	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 ⁽ⁱⁱ⁾	N/A	Must meet requirement ⁽ⁱⁱ⁾	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	Litigation History	No consistent history of court/arbitral award decisions ^(iv) against the Applicant ⁽ⁱⁱⁱ⁾ since 1 st January 2011.	Must meet requirement ⁽ⁱⁱ⁾	N/A	Must meet requirement ⁽ⁱⁱ⁾	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	
3. Financial Situation							
3.1	Financial Performance	<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 31st March 2015⁽ⁱ⁾ for the countries where the financial year ending on 31st March⁽ⁱ⁾, or for the last 5 years ending 31st December 2015 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>	Must meet requirement	N/A	Must meet requirement	N/A	Form FIN – 3.1 with attachments

3.2	Average Annual Turnover	The minimum average annual Railway Systems turnover of US\$ 160 million calculated ⁽ⁱⁱ⁾ as total certified payments received for contracts in progress and/ or completed, within the last five years ending on 31st March 2015 ⁽ⁱ⁾ for the countries where the financial year ending on 31st March ⁽ⁱ⁾ , Or ending 31st December 2015 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	Liquidity Position	The total amount, USD 55 million , 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
Notes for the Applicant							
<p>(i) Wherever the audited Financial Statement of Financial Year ending 31st March 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	
4. Experience							
4.1	General Railway Systems Experience	Experience under Railway Systems contracts in the role of prime contractor (single entity or JV member), subcontractor or management contractor (i) for at least the last ten (10) years, starting 1 st January 2006.	Must meet requirement	N/A	Must meet requirement	N/A	Form EXP – 4.1
4.2 (a)	Specific Experience	A minimum number of two similar (ii) contracts that have been satisfactorily and substantially (iii) completed as a prime contractor (single entity or JV member) (iv) between 1st January 2006 and Application submission deadline.	Must meet requirement	Must meet requirement (vi)	N/A	N/A	Form EXP – 4.2(a)
4.2 (b)	Specific Experience – Delivery Record	For the above and other Contracts completed and under implementation, as prime contractor (single entity or JV member) (iv) , for the last ten (10) years, starting 1st January 2006, to have delivery (i.e. vehicle design, manufacture, supply, integration, testing & commissioning and interface with other designated contractors) record of more than 300 metro cars (i.e.	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	
	And Operational Performance	<p>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>150 cars 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>					
4.2 (c)	Specific Experience – Propulsion System	<p>As prime contractor (single entity or JV member), management contractor (i) or sub-contractor,</p> <p>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</p>	<p>Must meet requirement (v) (can be a specialist subcontractor)</p>	<p>Must meet requirement (v) (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	
		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.					

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 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.
- (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 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

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

Liquidity Position Data				
Month/Year	Source of Financing	Amount and Currency	Exchange Rate*	USD Equivalent
<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: 31-12-2015

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.]

Form ACK

Acknowledgement of Compliance with Guidelines for Procurement under Japanese ODA Loans

A) I, *[insert name and position of authorized signatory]*, being duly authorized by *[insert name of Applicant/members of joint venture ("JV")]* (hereinafter referred to as the "Applicant") to execute this Acknowledgement of Compliance with Guidelines for Procurement under Japanese ODA Loans, hereby certify on behalf of the Applicant and myself that all information provided in the Application submitted by the Applicant for *[insert Loan No and name of the Project]* is true, correct and accurate to the best of the Applicant's and my knowledge and belief. I further certify, on behalf of the Applicant, that:

- (i) the Application has been prepared and submitted in full compliance with the terms and conditions set forth in the Guidelines for Procurement under Japanese ODA Loans (hereinafter referred to as the "Guidelines"); and
- (ii) the Applicant has not, directly or indirectly, taken any action which is or constitutes a corrupt, fraudulent, collusive or coercive act or practice in violation of the Guidelines and is not subject to any conflict of interest as stipulated in the relevant section of the Guidelines.

<If debarment for more than one year by the World Bank Group is NOT imposed, use the following sentence B).>

B) I certify that the Applicant has NOT been debarred by the World Bank Group for more than one year since the commencement of the advertisement for prequalification.

<If debarment for more than one year by the World Bank Group has been imposed BUT three (3) years have passed since the date of such debarment decision, use the following sentence B').>

B') I certify that the Applicant has been debarred by the World Bank Group for a period more than one year BUT that on the date of issuance of Invitation for Bids at least three (3) years had passed since the date of such debarment decision. Details of the debarment are as follows:

name of the debarred firm	starting date of debarment	ending date of debarment	reason for debarment

C) I certify that the Applicant will not enter into a subcontract with a firm which has been debarred by the World Bank Group for a period more than one year, unless on the date of the subcontract at least three (3) years have passed since the date of such debarment decision.

D) I certify, on behalf of the Applicant, that if selected to undertake services in connection with the contract, the Applicant shall carry out such services in continuing compliance with the terms and conditions of the Guidelines.

E) I further certify, on behalf of the Applicant, that if the Applicant is requested, directly or indirectly, to engage in any corrupt or fraudulent action under any applicable law, such as the payment of a rebate, at any time during a process of public procurement, negotiations, execution or implementation of

contract (including amendment thereof), the Applicant shall report all relevant facts regarding such request to the relevant section in JICA (details of which are specified below) in a timely manner.

JICA's information desk on fraud and corruption (A report can be made to either of the offices identified below.)

- (1) JICA Headquarters: Legal Affairs Division, General Affairs Department

URL: <https://www2.jica.go.jp/en/odainfo/index.php>

Tel: +81 (0)3 5226 8850

- (2) JICA India office,
2nd Floor, Dr. Gopal Das Bhawan,
28, Barakhambha Road,
New Delhi – 110001
Tel: +91 11 47685500
FAX: +91 11 47685555
URL: <http://www.jica.go.jp/>

The Applicant acknowledges and agrees that the reporting obligation stated above shall NOT in any way affect the Applicant's responsibilities, obligations or rights, under relevant laws, regulations, contracts, guidelines or otherwise, to disclose or report such request or other information to any other person(s) or to take any other action, required to or allowed to, be taken by the Applicant. The Applicant further acknowledges and agrees that JICA is not involved in or responsible for the procurement process in any way.

- F) If any of the statements made herein is subsequently proven to be untrue or incorrect based on facts subsequently determined, or if any of the warranties or covenants made herein is not complied with, the Applicant will accept, comply with, and not object to any remedies taken by the Employer and any sanctions imposed by or actions taken by JICA.

Authorized Signatory

[Insert name of signatory; title]

For and on behalf of *[Insert name of the Applicant]*

Date: