

**Kolkata Metro Rail Corporation Limited**

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HRBC BHABAN,  
KOLKATA- 21.**Web: [www.kmrc.in](http://www.kmrc.in)****PRE- QUALIFICATION TENDER NOTIFICATION****KMRCL/Tender No.1 RS-PQ****Date: 20<sup>th</sup> January 2009**

Kolkata Metro Rail Corporation Limited (KMRCL) intends to shortlist Passenger Rolling Stock Design and Manufacturing Companies, through a pre-qualification process, for the design, manufacture, supply, testing and commissioning of Electric Multiple Units (EMUs) and training of personnel for Kolkata Metro Rail Project. Total requirement for Standard Gauge (1435mm) is 16 train sets of 4-car ( 2 DMC+2TC )configuration i.e. 64 coaches to start with. The system is on 750 volts DC third rail

1.1 Indian and International companies, either by themselves or as a joint venture/consortium, interested in appointment through International Competitive Bidding (ICB) as the Passenger Rolling Stock Designers and Manufacturers can apply. Applicants are required to have a good financial standing and performance record, requisite experience and capacity in the fields described above.

1.2 Copies of the Enquiry Document may be collected from the office of the KMRCL, 4<sup>th</sup> & 5<sup>th</sup> Floor, HRBC Bhaban, Munshi Premchand Sarani, Kolkata-21, INDIA. The Pre-Qualification Documents will be available on payment of a non-refundable fee of Rs 25,000 (US\$ 500) in the form of a crossed demand draft from a Scheduled Commercial Bank in India in favor of Kolkata Metro Rail Corporation Limited, payable at Kolkata, on all working days between 11.00hrs and 17.00hrs (IST) from 21<sup>st</sup> JAN 2009 to 17<sup>th</sup> FEB 2009. In case Enquiry document is downloaded from web-site, cost of document to be submitted along with the submission of tender else the tender will be rejected.

1.3 Clarifications, if any, asked in writing only will be entertained by KMRCL. Last date for seeking such clarifications is 2<sup>nd</sup> MARCH 2009. Pre-bid meeting shall be held on 9<sup>th</sup> MARCH 2009. This will be replied by 16<sup>th</sup> MARCH 2009.

1.4 The documents, duly completed, shall be returned in sealed envelopes, which must be delivered by hand or by registered mail, so as to reach KMRCL office on or before 15.00 hrs (IST) on 7<sup>th</sup> APRIL 2009. *The tender offers will be opened at 16.00 hrs (IST) on the same day in the presence of* applicants who desire to be present.

1.5 KMRCL reserves the right to accept or reject any or all proposals without assigning any reason what so ever. No tenderer shall have any cause of action or claim against KMRCL for rejection of his proposal. Canvassing in any form will result in summary rejection of the tender.

1.6 Joint venture must comply with the following requirement :-

- a) *The lead partner shall meet not less than 40% of the financial standing and criteria, Each of the other partners shall meet individual not less than 25% of all financial criteria,*
- b) *Joint venture suitably, collectively other criteria like technical organisational and manufacturer capability. However, such partners must individually satisfy technical, organisational and manufacturer and expenses record of the equipment or parts being supplied for the rolling stock under procurement,*
- c) *The formation of joint venture after pre qualification of any change in pre qualified joint venture will be subject to the written approval of the employer prior to the dateline for submission of bid. Such approval may be denied if (i) partner withdraw from joint venture and the remaining partner do not meet the qualifying requirement of (ii) new partner with a joint venture are not qualified, individually or as other joint venture, or (iii) in the opinion of the employer, a substantial reduction in competition may result.*
- d) *Any bid shall be signed so as to legally bind all partners jointly and severally and any bid shall be submitted with a copy of joint venture agreement as in application from (A) and (B) providing the joint and several liabilities with respect of the contract. For details please visit our web site : [www.kmrc.in](http://www.kmrc.in).*

Managing Director, Kolkata Metro Rail Corporation Limited

**KOLKATA METRO RAIL PROJECT  
PRE-QUALIFICATION FOR DESIGN,  
MANUFACTURE, SUPPLY, TESTING AND COMMISSIONING OF PASSENGER  
ROLLING STOCK (ELECTRIC MULTIPLE UNITS) AND TRAINING OF  
PERSONNEL FOR KOLKATA METRO RAIL PROJECT**

**TENDER NO.1 RS-PQ**

Kolkata Metro Rail Corporation Limited (KMRCL) intends to shortlist Passenger Rolling Stock Design and Manufacturing Companies, through a pre-qualification process, for the design, manufacture, supply, testing and commissioning of Electric Multiple Units (EMUs) and training of personnel for Kolkata Metro Rail Project.

General Consultants (GC) are being appointed by KMRCL who will assist KMRCL in evaluating the tenders.

1.1 Indian and International companies, either by themselves or as a joint venture/consortium, interested in appointment through International Competitive Bidding (ICB) as the Passenger Rolling Stock Designers and Manufacturers for Tender No. 1 RS-PQ may complete the Pre-Qualification Enquiry Document in pro-forma format. Applicants are required to have a good financial standing and performance record, requisite experience and capacity in the fields described above.

1.2 Copies of the Enquiry Document may be collected from the office of the KMRCL, 4<sup>th</sup> & 5<sup>th</sup> Floor, HRBC Bhaban, Munshi Premchand Sarani, KOLKATA-21, INDIA. The Pre-Qualification Documents will be available on payment of a non-refundable fee of Rs 25,000 (US\$ 500) in the form of a crossed demand draft from a Scheduled Commercial Bank in India in favour of Kolkata Metro Rail Corporation Limited, payable at Kolkata, on all working days between 11.00hrs and 17.00hrs (IST) from 21<sup>st</sup> JAN 2009 to 17<sup>th</sup> FEB 2009.

1.3 Clarifications, if any, asked in writing only will be entertained by KMRCL. Last date for seeking such clarifications is 2<sup>nd</sup> MARCH 2009. Pre-bid meeting shall be held on 9<sup>th</sup> MARCH 2009. They will be replied by 16<sup>th</sup> MARCH 2009. KMRCL reserves the right to accept or reject any or all proposals without assigning any reason what so ever. No tenderer shall have any cause of action or claim against KMRCL for rejection of his proposal.

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- b) *Joint venture suitably, collectively other criteria like technical organisational and manufacturer capability. However, such partners must individually satisfy technical, organisational and manufacturer and expenses record of the equipment or parts being supplied for the rolling stock under procurement,*
- c) *The formation of joint venture after pre qualification of any change in pre qualified joint venture will be subject to the written approval of the employer prior to the dateline for submission of bid. Such approval may be denied if (i) partner withdraw from joint venture and the remaining*

partner do not meet the qualifying requirement of (ii) new partner with a joint venture are not qualified, individually or as other joint venture, or (iii) in the opinion of the employer, a substantial reduction in competition may result.

- d) Any bid shall be signed so as to legally bind all partners jointly and severally and any bid shall be submitted with a copy of joint venture agreement as in application from (A) and (B) providing the joint and several liabilities with respect of the contract.

For details please visit our web site : [www.kmrc.in](http://www.kmrc.in)

**APPLICATION FORM A**

## **Joint Venture Summary**

<i>Names of all partners of a joint venture</i>
1. Lead partner
2. Partner
3. Partner
4. Partner
5. Partner
6. Partner

*Total value of annual construction (and/or equipment, goods or services which apply to this contract) turnover, in terms of work billed to clients, in US\$ equivalent, converted at the rate of exchange at the end of the period reported:*

<i>Annual turnover data ( In Rs / US\$ equivalent)</i>						
<i>Partner</i>	<i>Form 2 page no.</i>	<i>Year 1</i>	<i>Year 2</i>	<i>Year 3</i>	<i>Year 4</i>	<i>Year 5</i>
1. Lead partner						
2. Partner						
3. Partner						
4. Partner						
5. Partner						
6. Partner						
<b>Total</b>						

## APPLICATION FORM B

## Joint Venture Agreement

To: The Managing Director,  
Kolkata Metro Rail Corporation  
4<sup>th</sup> & 5<sup>th</sup> Floor, HRBC Bhaban,  
Munshi Prem Chand Sarani  
KOLKATA 700021, INDIA

The undersigned of this declaration of cooperation are by means of attached Powers of Attorney legally authorized to act with regard to \_\_\_\_\_ [name of the Project] and on behalf of their organizations.

They hereby declare:

1. that they will legalize a Joint Venture Agreement in case that a Contract for the \_\_\_\_\_ [name of the Project] is awarded to their group;
2. that they have nominated \_\_\_\_\_ [name of the lead partner] as the Sponsor Firm of the group for the purpose of this Bid;
3. that they authorized Mr./Ms. \_\_\_\_\_ [name of the person who is authorized to act as the Representative on behalf of the Joint Venture] to act as the Bidder's Representative in the name and on behalf of their group.
4. that all partners of the Joint Venture shall be liable jointly and severally for the execution of the Contract;
5. that this Joint Venture is an association constituted for the purpose of the execution of the \_\_\_\_\_ [name of the Project] under this Contract;
6. that if the Employer accepts the Bid of this Joint Venture, it shall not be modified in its composition or constitution until the completion of Contract without the prior consent of the Employer;
7. that each partner's share of the Work, stated as percentage of the total contract amount, shall be as follows:

Name of Partner	Share of the Work (as percentage of the contract amount)
Lead Partner	
Partner	
Partner	
Partner	
Total	100

*Give names and positions of the proposed Joint Venture Representatives, as well as organization's names and addresses:*

1.	Name:	Signature:
	Position:	Date:
	Representative of: (Organization's Name)	

2.	Name:	Signature:
	Position:	Date:
	Representative of: (Organization's Name)	

3.	Name:	Signature:
	Position:	Date:
	Representative of: (Organization's Name)	

4.	Name:	Signature:
	Position:	Date:
	Representative of: (Organization's Name)	

5.	Name:	Signature:
	Position:	Date:
	Representative of: (Organization's Name)	

**KOLKATA METRO RAIL CORPORATION LIMITED  
KOLKATA METRO RAIL PROJECT**

PRE – QUALIFICATION FOR DESIGN, MANUFACTURE, SUPPLY,  
TESTING AND COMMISSIONING OF PASSENGER ROLLING STOCK  
(ELECTRIC MULTIPLE UNITS) AND TRAINING OF PERSONNEL FOR  
KOLKATA METRO RAIL PROJECT

**TENDER NO.1 RS-PQ**

**PRE-QUALIFICATION ENQUIRY DOCUMENTS**

**KOLKATA METRO RAIL CORPORATION LIMITED**

**4<sup>th</sup> & 5th Floor, HRBC Bhaban,  
Munshi Premchand Sarani,  
Kolkata-21.  
India.**

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## KOLKATA METRO RAIL PROJECT

### PRE-QUALIFICATION FOR DESIGN, MANUFACTURE, SUPPLY, TESTING AND COMMISSIONING OF PASSENGER ROLLING STOCK (ELECTRIC MULTIPLE UNITS) AND TRAINING OF PERSONNEL

#### Instructions to Applicants

Applicants are required to read carefully the contents of this document and to provide the requested information in sufficient detail so that the capabilities of the applicant can be fully appreciated and assessed.

Applicants may be single firms/companies or may be members of a group formed for the pre-qualification. Applicants must read carefully the directions concerning the requirements for groups. All documents submitted by members of a group will be evaluated.

Applicants have to complete the Questionnaire and provide the required information in separate Sections as described in the "Contents of Sections". These documents may be submitted in sets of one original and two copies, and marked so. The use of sections is to separate the information provided so that there is no doubt as to the intention of the applicant, and to considerably simplify the process of assessment of the applicants' capability and suitability.

Submittals will be assessed to demonstrate convincingly that the applicant possesses the experience, technical, administrative and financial capability to perform the contract for which application is made and has a good performance record in the relevant area. Applicants will not be considered if they have a poor performance record such as unsatisfactory performance of rolling stock in service supplied against other contracts, abandoning of works, not properly completing contracts, inordinate delays in completing contracts, litigation history, financial failure, etc. KMRCL reserves the right to approach previous clients of the applicants.

The Applicant, (each member in the case of a group /JV/Consortium) shall have to confirm and declare that no agent or middleman or any intermediary has been or will be engaged for the supply of equipment, services or any other item / work related to the performance of Contract. They shall further confirm and declare that no agency commission, or any payment which may be construed as an agency commission, has been or will be paid and that the Tender price will not include any such amount.

All documents shall be in the English language. If in other than English language, a true translation duly certified shall be submitted.

Successful applicants will be advised of the result of their application. It should be noted however, that neither KMRCL nor their General Consultant will discuss any aspect of the evaluation process, nor the result of the evaluation.

Applicants should note clearly the date and time for submittal of applications. No late or delayed application will be accepted. Applicants are reminded that no supplementary material will be entertained by KMRCL, and that evaluation will be carried out only on the basis of documents received by the closing time for receiving submittals.

In the event of a conflict between documents submitted by the applicant, the material contained in the Original set only will prevail.

Applicants will not be considered if they make misleading or false representations in statements, attachments and pre-qualification questionnaire submitted in proof of the qualification requirements.

## PRE-QUALIFICATION FOR DESIGN, MANUFACTURE, SUPPLY, TESTING AND COMMISSIONING OF PASSENGER ROLLING STOCK (ELECTRIC MULTIPLE UNITS) AND TRAINING OF PERSONNEL

### 1. INTRODUCTION

- 1.1 Kolkata Metro Rail Corporation Ltd. (KMRCL) is the Special Purpose Vehicle implementing East-West Corridor of the Kolkata Metro Rail Project for Kolkata. The project will connect HOWRAH at the EAST and SALT LAKE at the west, approximately 13.70 km length.

The scope of work comprises design, manufacture, supply, testing and commissioning of Electric Multiple Units and training on operation and maintenance to personnel for the project. It also includes the supply of spares and supply of operation & maintenance manuals. The cars required for the project shall be of modern design, light weight made of Stainless steel/Aluminium, with 3 phase AC drive having Variable Voltage Variable Frequency (VVVF) control, regenerative braking and suitable for ATP, ATO, etc. provided by others. The cars for Underground/Elevated & At Grade and shall operate on 750V dc Third Rail bottom collector System. Total requirement is for 16 train sets of 4-car configuration i.e. 64 coaches. Each 4-car train set will comprise of 2 Driving Motor (DMC) coaches & 2 Trailer (TC) coach i.e. of DMC+TC+TC+DMC configuration. Combination of one DMC+one TC will form one unit, combination of two such units will form a train set. Flexibility to form a train set by combination of 6 coaches ,in 3 units, with DMC+TC+MC+TC+TC+DMC combination, in future, must be ensured.

*KMRCL has received an ODA Loan from JAPAN INTERNATIONAL COOPERATION AGENCY( JICA) in the amount of (Rs. 2104.2 Crore) towards the part cost of East West Metro Corridor, Kolkata and intends to apply a portion of the proceeds of the Loan to payments under this contract. Disbursement of a ODA Loan by JAPAN INTERNATIONAL COOPERATION AGENCY( JICA). will be subject, in all respects, to the terms and conditions of the Load agreement, including the disbursement procedures and the “Guidelines for procurement under JBIC ODA Lones “ no party other than KMRCL shall derives any rights from the Loan agreement or have any claim to Loan proceeds. The above Loan agreement will cover only a part of Project cost. The remaining portion shall be financed through Equity participation by the Government of India, Government of West Bengal and other appropriate means.*

- 1.2 This pre-qualification Document refers to the Passenger Rolling Stock (EMU) required to operate the project or part thereof.
- 1.3 KMRCL is contracting General Consultant (GC) for the Project. The following three consortia have responded to the General Consultancy Services Tender and their proposals are under process. One of them would be appointed as GC. The three consortia are,

Consortium-1	Consortium-2	Consortium-3
Maunsell AECOM	Rites India	Mott McDonale , UK
Egis Rail, France	PBI , USA	CTI Engineering International ,

		JAPAN
Lee Harris Pomeroy Architects, USA	Systra SA , France	Maire Engineering, Italy
Yachiyo Engineering Co Ltd, JAPAN	Nippon KOEI , Japan	DCPL , India
Consulting Engineering Services (I) Pvt Ltd		Mott , India

The GC will prepare Technical Specifications for the vehicles for the project and will scrutinise the design / drawing submissions of the successful Tenderer for the vehicles and clear the designs after taking approval of KMRCL. The GC will review the design development of the vehicles and their various systems, through a process of design submissions, and a well-documented design approval process acceptable to KMRCL. The inspection of vehicles and its components during manufacture will be undertaken by GC and / or by authorised representatives of KMRCL. GC will monitor the Contractor's activities for quality assurance and for conformity to Contract specifications and time frame. The GC will review the "As-Built" drawings. The PQ applicant shall disclose / identify any conflict of interest which might arise if the PQ applicant were to become the successful tenderer in the form enclosed under Q 27 of the PQ Questionnaire.

- 1.4 KMRCL invites suitably qualified Indian and international applicants to submit tenders through International Competitive Bidding (ICB) for the detailed design development, manufacture, supply, testing, and commissioning of Electric Multiple Units and training of personnel suitable to meet the needs of the project. Tenders will be invited only from organisations that have been pre-qualified by KMRCL.
- 1.5 This document describes the pre-qualification application procedure and requirements.
- 1.6 Pre-qualification is for Design, Manufacture, Supply, Testing and Commissioning of EMUs and the training of operation and maintenance staff. Pre-qualification will also include the capability to indigenously source some identified items and the assembly.
- 1.7 The work will include the vehicle body, structural members and cladding, including under frame, sides, ends, and roof; incorporating windows, doors, saloon fittings, lighting, inter-car gangways and couplers, cabs, including crashworthiness features, and bogies, all hydraulic, pneumatic, electrical and electronic system designs, *multiple operation*, including traction current collection, propulsion system, train control and protection system, braking system, and all auxiliary services such as coach lighting, air-conditioning ,destination indicators, public address and other communications channels, etc.
- 1.8 The coaches should be modern, lightweight ( 15.5T Axle Load), made of stainless steel or Aluminium alloy with 3 phase AC drive having VVVF control, regenerative braking, and modern control devices such as ATP, **ATO**, *Event recorder*, *Fault Diagnostic feature* etc. Coach bogies should be of proven design and modern technology. The coaches shall be required to operate at 750V d.c. Third Rail system on STANDARD GAUGE (1435 mm).

- 1.9 Each sub-system should be of proven design and from reputed suppliers with a very good track record.
- 1.10 The successful Tenderer will be required to set up a design sub-office in Kolkata to enable their design development to be monitored and checked by the GC /KMRCL.
- 1.11 Interested designers and manufacturers of passenger rolling stock and vehicle systems, Indian and international, may apply for pre-qualification as sole contractor or as joint venture, partnership or consortium (group) with members complying with the criterion given in Pre Qualification Tender Notification (para 1.6). It may be noted that no member would be permitted to tender for the same contract in their own name and also time as part of another joint venture, partnership or consortium.
- 1.12 Successful applicants who are qualified will be required to confirm their intention to submit valid and conforming tenders prior to being invited to tender. The basis for evaluation of applications is described in Clause 5.9 herein.
- 1.13 Applicants for pre-qualification should note that this Pre-qualification Enquiry and Questionnaire are intended to provide designers and manufacturers with preliminary information concerning the project. The information contained herein shall not in any way be construed as binding on Kolkata Metro Rail Corporation Ltd., its General Consultant, its agents, successors or assigns.
- 1.14 Applicants are advised that selection of rolling stock designers and manufacturers as potential Tenderers shall be entirely at the discretion of KMRCL. Applicants will be deemed to have understood and agreed that no explanation or justification of any aspect of the pre-qualification process will be given and that KMRCL's pre-qualification decisions are without any right of appeal whatsoever.
- 1.15 All costs incurred by an applicant for pre-qualification shall be borne by the applicant, and KMRCL, its agents, successors and assigns are entirely without liability for such costs.
- 1.16 KMRCL reserves the right not to proceed with the pre-qualification procedure at any time without notice or liability.
- 1.17 All documents and other information supplied by KMRCL or submitted by an applicant shall remain or become the property of KMRCL. Applicants are to treat all information as strictly confidential. KMRCL will not return any pre-qualification submission.
- 1.18 *KMRCL will inform all pre qualified applicants about the result within a period of 90 days of finalisation of PQ tender.*
- 1.19 Applicants are advised that neither KMRCL nor GC will respond to enquiries or enter into communications concerning or relating to the selection process or the pre-qualification procedure.
- 1.20 The Applicant (each member in the case of a Group) or any associate shall have to confirm and declare with the Pre-Qualification Application that no agent, middleman or any intermediary has been, or will be, engaged to provide any services, or any other item or work related to the award and performance of this Contract. They will have to further confirm and declare in the submittal that no agency commission or any payment which may be construed as an agency commission has been, or will be, paid and that the tender price will not include any such amount.

## **2. PROJECT ORGANISATION**

- 2.1 The Executing Agency for the Kolkata Metro Rail Project is Kolkata Metro Rail Corporation Ltd.

KMRCL office is located at:  
4<sup>th</sup> & 5<sup>th</sup> Floor, HRBC Bhaban,  
Munshi Premchand Sarani  
Kolkata-21  
West Bengal  
India.

Telephone: (91) – 33-22134344

Facsimile: (91) – 33-22134344

E-mail: [ceekmrc@gmail.com](mailto:ceekmrc@gmail.com)

Web : [www.kmrc.in](http://www.kmrc.in)

- 2.2 KMRCL will be the "Employer" under the terms of any contract to be awarded.
- 2.3 KMRCL is engaging the services of a General Consultant who inter alia will monitor the activities of the Passenger Rolling Stock Designer and Manufacturer.

### **3. PROJECT DESCRIPTION**

- 3.1 Metro Rail Project for Kolkata comprises of HOWRAH-SALT LAKE( Sector V), covering a route length of 13.70 Km, with 8 km underground in tunnel and 5.7 km on elevated track. Depot and Workshop facilities will be at ground level at SALT LAKE end (not elevated or underground).
- 3.2 The tender documents to be issued for Tender No. 2 RS-P2 will include Outline Technical Specifications for design, manufacture, testing and commissioning of the EMUs and training of staff and also relevant Employer's Requirements for the Contract including capability to indigenously source some identified items and the assembly. These documents will principally cover performance, but will provide technical requirements in sufficient depth to eliminate undesirable features.
- 3.3 The safety worthiness of the rolling stock to be procured will be evaluated by an independent agency *appointed by KMRCL* and sanction of competent authority will have to be obtained. Safety worthiness would be to ensure that the various components of the rolling stock are within the prescribed limits of stress, temperature rise etc. and also to ascertain the oscillation behaviour of the rolling stock. Detailed design, calculations and "oscillation trials" will be done in this connection. Clearance of Commissioner for Metro Railway Safety(CMRS) will have to be obtained before introduction of service.

The contractor should be in a position to provide necessary support (have experts with adequate qualification, knowledge and experience) to assist KMRCL for effective interaction with concerned authorities.

- 3.4 The successful Tenderer will be responsible for design, supply, manufacture testing and commissioning of EMUs taking into account the factors which impinge upon his design – e.g. tunnel fixed structures, track, station platforms (with screen doors), current distribution and collection equipment, signalling and train control system, telecommunications, maintenance management, information system, etc. GC will supervise the co-ordination between the successful tenderer of Rolling Stock manufacture and other designated contractors.
- 3.5 The successful Tenderer will also be required to provide various manuals for the system, user,

workshop, software and servicing manuals, together with schedules of spare parts, including operation, maintenance and overhaul schedules, inspection and repair procedures. In addition, other technical data will be provided to identify the machinery and plant, including jigs and fixtures, supporting facilities required to enable the planning of Maintenance Depots, Workshops, Cleaning Facilities, etc., to progress in parallel with his design development.

- 3.6 The successful tenderer may be required to undertake supervision of *maintenance in the initial stages on mutually agreed terms and conditions. However they have to cover warranty of equipments and system, supplied against this contract, as a whole for a period of 5 years from the date of commissioning. An amount of 5% will be deducted (against each batch payment) as a performance guarantee which, however, will be returned after expiry of warranty period (within six months), in case there are no pending warrantee issues.*
- 3.7 Design, manufacture, supply, trials, test run and commissioning should be planned in such a time frame that Rolling Stock is available for introducing commercial services in stages from 30<sup>th</sup> JUNE 2011 and 31<sup>st</sup> DEC 2012. A prototype rake of four cars shall be required to be supplied by 30<sup>th</sup> APRIL 2011 for performance evaluation and oscillation trials.

#### **4. CONTRACTUAL MATTERS**

- 4.1 The passenger Rolling Stock will be procured through International Competitive Bidding from pre-qualified Tenderers.
- 4.2 The Tender documents for the Rolling Stock Design and Manufacture will give details of Conceptual Designs, Outline Technical Specifications, and Employer's Requirements. The Tenderers will be required to develop from these details, designs sufficiently detailed to allow assessment of the fitness and adequacy to permit construction / manufacture.
- 4.3 If Tender No.2RS-P2 is awarded to a group, as discussed in sub-section 1.11, each member thereof will be jointly and severally liable for the whole performance of the contract obligations. *A single performance guarantee from the joint venture only shall be submitted. Successful bidder of the main tender (2RS-P2) will have to pay "Bid Security". The amount will be mentioned in the main tender document ( roughly Rs 500,000 /US\$12,500).*

#### **5 PREQUALIFICATION APPLICATION**

- 5.1 Applicants for pre-qualification are required to submit the Pre-qualification Questionnaire and associated information as herein requested.
- 5.2 Applicants shall submit the requisite information in the sectional arrangements as indicated in the Table "Contents of Sections" in the pre-qualification questionnaire.
- 5.3 Applicants should attach clearly marked and referenced continuation sheets in the event that the space provided in the Questionnaire is insufficient. Alternatively, applicants may format the questionnaire making due provision for incorporation of the requested information.
- 5.4 Applications for pre-qualification must be submitted by hand or by registered post so as to reach the office of KMRCL by 15.00 hrs (IST) on **7<sup>th</sup> APRIL 2009**. Late or delayed applications will not be received or considered. Postal / Courier delay is the sole responsibility of the applicant.
- 5.5 Submissions shall be made in three sets of documents comprising one original set and two sets of copies and addressed to the Managing Director at the address shown below:

Kolkata Metro Rail Corporation Limited,

4<sup>th</sup> & 5<sup>th</sup> Floor, HRBC Bhaban,  
Munshi Premchand Sarani,  
KOLKATA-21.  
India.

All envelopes shall be entitled "PRE-QUALIFICATION SUBMISSION" and clearly marked in English as:

Name of Applicant

Tender Number

Copy Number (i.e. Original, or Copy 1 or Copy 2).

- 5.6 Information supplied by an applicant (or each constituent member if the applicant is a group) must be relevant to the applicant or constituent member named in the application and not, unless specifically requested, to other associated companies or firms. Unless otherwise approved by KMRCL, *the formation of a joint venture after prequalification, and any change in a prequalified joint venture, will be subject to the written approval of KMRCL prior to the deadline for submission of bids. Such approval may be denied if (i) partners withdraw from a joint venture and the remaining partners do not need the qualifying requirements, (ii) the new partners to a joint venture are not qualified, individually or as another joint venture, or (iii) in the opinion of KMRCL, a substantial reduction in competition may result. Invitation to tender will only be issued to Passenger Rolling Stock Design and Manufacturing Companies of Groups comply the above stipulations.*

- 5.7.1 A Group comprising a joint venture, partnership or consortium may apply for pre-qualification. In the case of applications from groups, a statement of participation for each constituent member shall be submitted to the effect that they are bona-fide members of the group applying for pre-qualification and that, in the event of pre-qualification, they agree to be jointly and severally liable to KMRCL under any contract which may subsequently be awarded to the group. Details of the existing or proposed joint venture, partnership or consortium agreement in the form of a Memorandum of Understanding (MOU) signed by all participants will be required.

- 5.7.2 The Tenderers are advised to survey manufacturing facilities already existing in India and make use of the same, if considered useful by them.

To facilitate ease in maintenance and easy availability of spares, KMRCL is keen on standardization and expects contractor to make efforts to source maximum number of equipments and materials from India.

KMRCL has also identified the items given in Table below, which can be indigenized and sourced from India to meet the required performance requirements and quality standards.

## Items for Indigenization

Sl.No	Description of Items
1	High Speed dc Circuit Breaker
2	Current Transformer, Potential Transformer and Insulators
3	Traction Motors
4	Converter / Inverter unit
5	Static Inverter (Auxiliary Converter)
6	Electrical panels / Cab panels
7	Cables
8	Battery set with box
9	Saloon Air-conditioner
10	Cab AC
11	Luminaries and Lamps
12	All types of Glasses
13	DC – DC converter
14	Axle taper roller bearing complete with axle box, housing & cover,
15	Earth Brush Assembly
16	Cab Mask
17	Consumables: Lubricants, Sealants, oils, greases etc.
18	Bogie, brake gear, Gear & Pinion
19	Control Electronics, cards,
20	Connectors, contactors,

- 5.8 KMRCL will review and evaluate the information submitted by applicants and select the applicants to whom invitations to Tender will be issued.
- 5.9 In responding to the pre-qualification submission, applicants should demonstrate their capabilities, by providing documentary proofs supporting experience, past performance, their personnel, equipment and financial resources, including:
- Capability to design to the requisite standard and to monitor and control design development and manufacture.
  - Capability to programme and re-programme the design work and the manufacture work, including that of suppliers and sub-contractors, to monitor progress against programme and to utilise computer programming and monitoring techniques.
  - Capability to manage, supervise and undertake both the design work, and the manufacture in a manner and to a quality commensurate with internationally accepted norms in the railway vehicle manufacturing industry.
  - Capability to undertake and manage and co-ordinate contract interfaces.
  - Capability to execute the work in time by having adequate resources.
  - Operate a design and manufacture quality control programme.
  - Capability to indigenously manufacture items given in the table in para 5.7.2 above and the assembly.
  - Operate Testing and commissioning programme of Rolling stock.
  - In case the application is from a Joint Venture, or consortium of maximum of four members, each member of the group should substantially satisfy the pre-qualification requirements.
- 5.10 Applicants will not be asked to provide additional information or material subsequent to the date of submission, and such material if submitted will be disregarded.

5.11 All documents submitted by applicants shall be in the English Language. Submitted documents will not be returned. If in other than English language, a true translation duly certified shall be submitted.

5.12 Clarifications, if any, asked in writing only will be entertained by KMRCL. Last date for seeking such clarifications is 17<sup>th</sup> FEB 2009. They will be replied in 10 days time or so.

**6.0 Eligibility Criteria**

The consortium or its members individually or jointly as member of other consortia in their respective roles viz. (i) Design and Manufacture of Car bodies, bogies and other mechanical equipments. (ii) Design and Manufacture of traction propulsion and control equipments and (iii) Complete integration of all sub-systems and equipments, should have carried out assembly and supply of a minimum of 200 nos. of cars with similar traction propulsion system in the preceding 10 years ending 31<sup>st</sup> March 2009.

7.1 KMRCL reserves the right to accept or reject any bid, to annul the bidding process and reject all bids, at any time prior to award of contract, without thereby incurring any liability to the affected bidder or bidders or any obligation to inform the affected bidder or bidders of the grounds for the KMRCL action.

7.2 Should a tenderer or contractor have a relative employed in Managerial Capacity in KMRCL or in case of partnership firm or Company incorporated under the Indian Company Law, should have a partner or relative of the partner or a shareholder be employed in responsible position in KMRCL, the authority inviting tender shall be informed of the fact at the time of submission of tender. If such a fact is suppressed at the time of tendering and comes to light at any time after the acceptance of tender, the contract may be rescind.

**8.0 Corrupt or Fraudulent Practices :**

8.1 The Employer requires that the Bidders/Suppliers/Contractors under this contract, observe the highest standard of ethics during the procurement and execution of this contract. In pursuance of this policy the Employer :

- a. Defines, for the purpose of these provisions, the items set forth below as follows.
  - i. "Corrupt Practice" means the offering, giving, receiving or soliciting of any thing value to influence the action of a public official in the procurement process or in contract execution; and
  - ii. "Fraudulent practice" means a misrepresentation of facts in order to influence a procurement process or the execution of a contract, detrimental to the interests of KMRCL, and includes collusive practice among Bidders (prior to or after bid submission) designed to establish bid prices at artificial non-competitive levels and to deprive the KMRCL of the benefits of free and open competition.
- b. Will reject a proposal for award of work if he determines that the Bidder recommended for award has engaged in corrupt or fraudulent practices in competing for the contract in question.
- c. Will declare a Bidder ineligible, either indefinitely or for a stated period of time to be awarded a contract/contracts if he at any time determines that the Bidder has engaged in corrupt and fraudulent practices in competing for, or in executing, the contract.

- 8.2 *The JAPAN INTERNATIONAL COOPERATION AGENCY( JICA),or BANK does not finance expenditures for goods and services which in the Banks opinion have not been procured in accordance with the agreed procedures in the Loan agreement, and the Bank will cancel that portion of the loan allocated to goods and services that have been misprocured. The Bank may in addition exercise other remedies under the Loan agreement. It is the Bank's policy to require that bidder and contractors as well as borrower , under contracts funded with ODA Loans of the Bank and other Japanese ODA observes the highest standard of ethics during the procurement and execution of such contracts. In pursuance of this policy the Bank,*
- (a) *will reject a proposal for award if it determined that the bidder recommended for award has engaged in corrupt or fraudulent practices in competing for the contract in question,*
- (b) *will recognise a contractor as in eligible for a period determined by the Bank to be awarded a contact funded with ODA Loans of the Bank if it at any time determines that the contractor has engaged in corrupt or fraudulent practices in competing for , or in executing, another contract funded with ODA Loans of the Bank or other Japanese ODA.*

**9.0 Jurisdiction of Court in case of dispute or differences arising on account of this Tender.**

Any suit of application, arising out of any dispute or difference on account of this tender, shall be filed in a competent court at Kolkata, West Bengal only and no other court or any other district of the country shall, have any jurisdiction in the matter.

**Tender Documents which includes other details like :**

PQ Evaluation Criteria.

PQ Questionnaire along with annexures.

may be obtained from KMRCL as per PQ Tender Notification No. KMRCL/Tender No. 1-RS-PQ dated : 21st JAN 2009 on payment of non-refundable fee stipulated therein.

**KOLKATA METRO RAIL CORPORATION LIMITED**  
**KOLKATA METRO RAIL PROJECT**

PRE – QUALIFICATION FOR DESIGN, MANUFACTURE, SUPPLY, TESTING  
AND COMMISSIONING OF PASSENGER ROLLING STOCK  
(ELECTRIC MULTIPLE UNITS) AND TRAINING OF PERSONNEL FOR  
KOLKATA METRO RAIL PROJECT

**TENDER NO.1 RS-PQ**

***PRE-QUALIFICATION EVALUATION CRITERIA***  
***AND***  
***PRE-QUALIFICATION QUESTIONNAIRE***

**KOLKATA METRO RAIL CORPORATION LIMITED**

**4<sup>th</sup> & 5th Floor, HRBC Bhaban,  
Munshi Premchand Sarani,  
Kolkata-21.  
India.**

**KOLKATA METRO RAIL CORPORATION LIMITED**  
**KOLKATA METRO RAIL PROJECT**

PRE – QUALIFICATION FOR DESIGN, MANUFACTURE, SUPPLY, TESTING  
AND COMMISSIONING OF PASSENGER ROLLING STOCK  
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KOLKATA METRO RAIL PROJECT

**TENDER NO.1 RS-PQ**

**PRE-QUALIFICATION EVALUATION CRITERIA**

**KOLKATA METRO RAIL CORPORATION LIMITED**

**4<sup>th</sup> & 5th Floor, HRBC Bhaban,  
Munshi Premchand Sarani,  
Kolkata-21.  
India.**

**(A) INITIAL FILTER OF APPLICANTS – CHECKLIST**

Applies for each member in case of a group/JV/Consortium (except Sl. No.11)

Name of Applicant: (Name of member in case of a group/ JV/Consortium)

Sl. No.	Criteria	Yes	No
1	Has the Applicant abandoned any work in the last ten years <i>Or has it been black listed by any Government Department/Bank or has any of his contract terminated for failure to perform?</i>		
2	Has the Applicant been involved in frequent litigations in the last ten years?		
3	Has the Applicant delayed any work in the last ten years by more than 25% of the original period of completion due to his default?		
4	Has the Applicant suffered bankruptcy / insolvency ?		
5	Has the Applicant been blacklisted by any organization?		
6	Has the Applicant been penalized <i>by a liquidated damage more than 5% of the contract value in a contract for poor quality of work in the last ten years?</i>		
7	Has any misleading information been given in the application?		
8	Is the Net Worth of the applicant positive? (as per latest audited accounts).		
9	Has the applicant certified that no agent / middleman has been or will be engaged or any agency commission been or will be paid? (Verification Statement No.28).		
10	Has the Applicant submitted duly filled verification statement no. – 29		
11	Has the Consortium or its members individually or jointly as member of other Consortia in their respective roles carried out design, manufacture, supply, testing & commissioning of a minimum of 200 nos of cars with similar features including traction propulsion system, ATP/ ATO systems etc. in the preceding 10 years ending 31st March 2009( see Note no.2 also). At least 50% of the above 200 cars should have been supplied and proven in service for a period of 5 years or more in a country other than the country of manufacture.		

**Note:** 1. In case of Joint Ventures / Group / Consortium, each Individual must satisfy the “INITIAL FILTER OF APPLICANTS – CHECK LIST”, except serial number 11.

*A “YES” Answer to any of the question ( except Sl no 11) will disqualify the applicant.*

- In case of Joint Venture/ Group / Consortium, for the criteria at Sl. No. 11, the evaluation will be carried out in totality and not as individual applicants. However it is to be noted that the minimum 200 nos. of complete cars will be considered for each individual/ member in the respective roles of design & manufacture, assembly and supply. For example in a consortium, If Member A has expertise in design and manufacture of car bodies, bogies and other mechanical equipments, Member B has expertise in design and manufacture of traction propulsion and control equipments, Member C has expertise in complete integration of all sub-systems and equipments, and so on, then each member A,B,C should have carried out the aforesaid nature of work for a minimum of 200 cars.
- It may be further noted that the above condition in note 2 will not apply to the consortium member established in India under the Indian laws chosen for the indigenization and sourcing from India, provided the other members of the consortium satisfy the criteria as laid down and shall be fully responsible for the indigenization.

SIGNATURE OF TENDERER

## (B) Bid Capacity Evaluation

Evaluation through Bid Capacity Formula has been removed , bidders NET WORTH individually for each partner and as Group with ref to the information made available in Annexure 5 w.r.t Criteria T<sub>3</sub> will be evaluated.

The current estimated cost of works may be taken as INR 4670 Millions. *(US\$ 93 million Approx).*

### Note:

1. Since the value of work quoted may be different than the estimated cost, this aspect will be seen again before the award of contract.
2. In case of a Group, the above criteria will be applied to each member to the extent of his proposed participation in the execution of the work..
3. The maximum value of the Rolling stock supplied in any one year during last five years shall be the max<sup>m</sup> turnover of rolling stock manufactured in any one year during the last five years. The turnover of the rolling stock manufactured to be furnished in response to question 17c, Pro-forma Section 3 of pre-qualification questionnaire shall be supported with audited copies duly certified by chartered accountant indicating Annual turnover of Rolling stock manufactured only

**(C) ASSESSMENT SCORE**

This is based on the weightage to be given to Topic II & III relative to the whole of the Pre - Qualification topics, and the points scored by the Applicant against each topic except Financial Standing where it is either PASS or FAIL.

TOPIC NO.	ASSESSMENT TOPIC	PASS/ FAIL		
<b>I</b>	<b>Financial Standing</b>			
T <sub>1</sub>	Liquidity and Banking Reference			
T <sub>2</sub>	Profitability			
T <sub>3</sub>	Networth			
	<b>RESULT</b>			
<b>II</b>	<b>Technical, Organizational and Manufacturing Capability</b>	<b>MAX. POINTS</b>	<b>WEIGHT AGE</b>	<b>MAX. SCORE</b>
T <sub>4</sub>	Management Team Organization and Project Leader	3	3	9
T <sub>5</sub>	No. of Managerial Professional and Technical Staff	3	2	6
T <sub>6</sub>	Experience of key design/development and production staff	3	6	18
T <sub>7</sub>	Manufacturing facilities and Infrastructure	3	8	24
T <sub>8</sub>	Testing Facility	3	3	9
T <sub>9</sub>	Quality Assurance	3	2	6
	<b>Total II</b>		<b>24</b>	<b>72</b>
<b>III</b>	<b>Experience Record</b>			
T <sub>10</sub>	No. of years the Applicant has been undertaking design and manufacture of Metro Cars of similar specifications.	3	4	12
T <sub>11a</sub>	No. of Stainless Steel/Aluminium Metro Cars including bodies, bogies and other mechanical equipments (without traction propulsion equipments) supplied in the last 10 years.	3	10	30
T <sub>11b</sub>	No. of 3 phase traction propulsion and control equipments supplied for Metro Cars in the last 10 years.	3	10	30
T <sub>11c</sub>	Experience of Complete integration of all sub-systems and equipments on No. of Cars in last 10 years.	3	5	15
T <sub>12</sub>	Average Annual Turnover in respect of Rolling stock only	PASS/FAIL		
T <sub>13</sub>	Experience in Supervision of maintenance of Metro Cars on No. of Cars	3	2	6
T <sub>14</sub>	Percentage availability of Rolling Stock	3	5	15
T <sub>15</sub>	Reliability of Rolling Stock in MKBF (Mean Kilometers Between Failures)	3	5	15
T <sub>16a</sub>	Association of Indian Partner(s) in the indigenous manufacture of some items given in this document and the assembly.	6	5	30
T <sub>16b</sub>	DELETED	-	-	-

	<b>Total III</b>		<b>46</b>	<b>138</b>
	<b>Grand Total</b>		<b>70</b>	<b>225</b>

The points scored will be based on:

- Excellent = 3
- Good = 2
- Average = 1
- Poor = 0

However, The above four gradations are not necessarily for all the assessment topics.

Note:- In case of Joint Ventures/ Group/ Consortium, the evaluation against the individual assessment topic will be done based on:

Sl. No	Particulars	For topic No.
i)	Percentage participation of each JV member (Min 40% for lead partner and 25% for others)	T1,T2,T3 T12
ii)	Consideration in totality of group (Percentage participation not considered)	T13 T16a, T4 T5 T6 T7 T8 T11 a,b,c
iii)	All members of the group to satisfy the ‘particular stipulation’ to get the points allotted to that ‘stipulation’.	T9 T14 T15
iv)	Points will be averaged for the group (simple arithmetic average) and rounded off to the lower whole number.	T10
v)	Average of Best four in the last ten years	T11a T11b T11c

Note: *Each member of the group should, individually, submit audited balance sheet for each year and other documents as required in the Assessment Score (C)*

**Updating Pre Qualification:** Bidders shall be required to update the financial information used for prequalification at the time of submitting their bids and to confirm their continued compliance with the qualification criteria. A bid shall be rejected if the Applicant's qualification thresholds are no longer met at the time of bidding

### (D) Basis for Weightage

The weightage has been determined by the importance of the topic in relation to the project.

#### Basis for Awarding Points

The purpose of the points system is to be able to put the Applicants into a “pecking order” of capability. The award of points would be based on the response of the Applicant to the Questionnaire. It must be appreciated that the answer to some Topics are a Yes or No answer, which otherwise means PASS or FAIL

The basis for the award of PASS/ FAIL and points for I, II & III is:

#### I. **Financial Standing**

##### T<sub>1</sub> **Liquidity :**

It is necessary that the firm in case of JV, *can withstand the Cash Flow criterion that the contract will require until payment received from Employer. It should satisfy collectively by adding the figures for each partner, and individually by lead partner, meeting not less than 40% of the requirement, and by the other partner not less than 25%..* Liquidity therefore becomes an important consideration.

This can be seen from the balance sheets and from the banking reference. Net current assets {(Current assets + loans & advances) – (current liabilities + provision) }, documents including banking reference, should show that the applicant has access to or has available liquid assets, lines of credit and other financial means to meet cash flow of Rs. 1000 million for this contract, net of applicant’s commitments for other Contracts. However, Banking reference should contain in clear terms that in case LOA is issued to the applicant, Bank will be in a position to lend Rs. 1000 million for this work to the applicant.

Adequate liquidity ( PASS)	=	≥ Rs 1000 Million
Inadequate Liquidity ( FAIL)	=	<Rs 1000 Million

##### T<sub>2</sub> **Profitability :**

The same condition applies as in T1, taken from the Balance sheets:

Earnings before tax but after interest, positive in last 5 years	= PASS
Other wise	= FAIL

##### T<sub>3</sub> **Net Worth :**

Net Worth (as per the latest audited accounts) to be obtained from Annexure 5

≥ Rs 2000 Millions	= PASS
Otherwise	= FAIL

#### II. **Technical, Organizational and Manufacturing Capability**

##### T<sub>4</sub> **Management team organization and Project Leader:**

Management team organization is considered to be consisting of (apart from Project leader) Deputy Project leader, (if one is included) Design & Development Manager, Interface Manager, Production Manager, Testing & Commissioning Manager, Quality Assurance Manager and Safety Manager.

This will be based upon the Qualification and experience of Management Team and Project Leader. The assessment will be subjective to a certain extent.

Excellent	=	3 points
Good	=	2 points
Average	=	1 point
Poor	=	0 point

The proposed Project Leader should have total experience of minimum 15 years and should have been the Project Head in at least one Project in the last 10 years. Other members of Management team should have minimum 10 years experience with 5 years in similar projects and should have worked in at least one project in the proposed position.

- Non-fulfillment of above requirement by Project leader will result in '0' point.
- Fulfillment of above requirement by Project leader but non-fulfillment of above requirement by any member of Management team will result in '1' point.
- Fulfillment of above requirement by Project leader and other members of Management team will result in '2' points.

T<sub>5</sub> Total number of Staff – Managerial / Professional and Technical and Engineers- will determine the technical capability for design and manufacture of Metro Cars in specified time frame.(Refer Profoma in Q 18 of PQ Questionnaires).

> 400	=	3 points
> 300 and < 400	=	2 points
> 200 and < 300	=	1 point
< 200	=	0 point

T<sub>6</sub> Qualifications and Experience of key design development and production staff (University Graduate Degree Holders and above) will determine the capability of the Applicant in respect of design and manufacture of cars. The years of experience will be averaged.

> 10 years	=	3 points
> 7 and < 10 years	=	2 points
> 5 and < 7 years	=	1 point
< 5 years	=	0 points

(Kind attention is invited to Q.20 of PQ Questionnaire and Annexure – 4).

T<sub>7</sub> It is essential that the Applicant should have adequate number of plants with sufficient capacities for manufacture and assembly of various sub-systems viz., bogies, carbody, electrics etc.. the assessment would be subjective to some extent, based upon the information supplied by the Applicant.

Excellent	=	3 points
Good	=	2 points
Poor	=	0 point

(Kind attention is invited to Q.26a of PQ Questionnaire).

T<sub>8</sub> Testing Facility: The Applicant should have adequate testing equipments and facilities for static and dynamic testing (Full load powering) of complete car and rake. The assessment shall be made on the basis of information supplied by the Applicant.

- Excellent = 3 points
- Good = 2 points
- Poor = 0 point

(Kind attention is invited & Q26 a of PQ Questionnaire).

T<sub>9</sub> Quality Assurance:

This will be assessed as existing or non-existing

- Possesses QA Programme certified by ISO = 3 points
- Follows internal QA Programme = 2 points
- Does not have QA Programme = 0 point

(Kind attention is invited & Q26 b of PQ Questionnaire).

**III. Experience Record**

T<sub>10</sub> The experience of the Applicant in number of years in design and manufacture of metro cars of similar specifications is an indication of its stability.

- > 10 years = 3 points
- ≥ 7 years but upto 10 years = 2 points
- ≥ 5 years but upto 7 years = 1 point
- < 5 years = 0 point

T<sub>11a</sub> } The number of metro cars supplied by the Applicant in the last 10 years is the most  
 T<sub>11b</sub> & } important evaluation criteria in deciding the capability of the Applicant. It is expected that T<sub>11c</sub>  
 the Applicant } will generally be a Consortium of manufacturers, who will be responsible for

design and manufacture of different systems/equipments of the car. It is therefore possible that there may be different manufacturers for carbody and bogie and traction propulsion and control equipments. In the evaluation criterion, weightage has therefore been provided for mechanical and traction equipments separately. As successful integration of all the sub-systems including mechanical and traction propulsion system requires specific expertise, weightage has also been provided separately for the experience in integration of sub-systems.

- ≥ 400 = 3 points
- ≥ 300 but < 400 = 2 points
- ≥ 200 but < 300 = 1 point
- < 200 = 0 point

T<sub>12</sub> Average Annual Turn Over for the last five years for Rolling Stock manufactured only (in terms of rupee equivalent adjusted to 31.3.2008 by assuming 10% escalation for Indian Rupee and 2% for foreign currency per year)

- > Rs. 2000 Millions = PASS
- Otherwise = FAIL

T<sub>13</sub> Experience in supervision of maintenance of metro cars is considered necessary, in case the successful tenderer is offered this service. Experience in the field provides important input to the manufacturer in improving the quality of the rolling stock.

Possesses Experience = 3 points

Does not possess experience = 0 points

T<sub>14</sub> Availability of Rolling Stock achieved during the Warranty Period or in three years, whichever is longer.

≥ 96% = 3 points

≥ 95% = 2 points

< 95% = 0 point

(Kind attention is invited to relevant item in Annexure-1).

T<sub>15</sub> Reliability in terms of mean kilometers between failures (MKBF) for interruption in service.

> 80,000 km = 3 points

> 60,000 km and < 80,000 km = 2 points

> 40,000 km and < 60,000 km = 1 point

< 40,000 km = 0 point

(Kind attention is invited to relevant item in Annexure – 1)

T<sub>16a</sub> Has the Applicant associated or willing to associate an Indian Partner(s) in the indigenous manufacture of some items given in this document and the assembly.

Excellent = 6 points

Good = 4 points

Poor = 0 Point

Where the Indian partner is named and a Memorandum of Understanding is furnished and sufficient data is provided to establish their ability to indigenously manufacture the items and the assembly, 6 points shall be scored. Where the Indian Partner is named and a Memorandum of Understanding tabled but data provided is inadequate to establish their ability to indigenously manufacture, 4 points will be scored. Where only willingness is expressed 0 Points shall be scored.

(Kind attention is invited & Q8 of PQ Questionnaire).

T16b DELETED

### (E) Summary of Evaluation Criteria

An applicant would pass Pre - Qualification Criteria, if he meets the following requirements:

- a) A Pass in Initial Filter checklist.
- b) A PASS in Bid Capacity / NET WORTH (≥ Rs 2000 million.)
- c) A Pass in Financial Standing Topic I
- d) 50% marks in each of the topics II,III except point No.T16a = PASS otherwise FAIL
- e) 60% marks in overall (Topics II+III) = PASS , otherwise FAIL

BLANK

**KOLKATA METRO RAIL CORPORATION LIMITED  
KOLKATA METRO RAIL PROJECT**

**PRE – QUALIFICATION FOR DESIGN, MANUFACTURE, SUPPLY, TESTING  
AND COMMISSIONING OF PASSENGER ROLLING STOCK  
(ELECTRI MULTIPLE UNITS) AND TRAINING OF PERSONNEL FOR KOLKATA  
METRO RAIL PROJECT**

**TENDER NO.1 RS-PQ**

**PRE – QUALIFICATION QUESTIONNAIRE**

**KOLKATA METRO RAIL CORPORATION LIMITED**

**4<sup>th</sup> & 5<sup>th</sup> Floor, HRBC Bhaban,  
Munshi Premchand Sarani,  
KOLKATA-700021.  
India.**

### CONTENTS OF EACH SECTION

SECTION NUMBER	CONTENTS OF EACH SECTION	REMARKS
1.	<u>Pro-Forma – General</u> Letter of Application	Pro-forma letters will be found on page 22 of this document.
	Completed Pre - Qualification Questionnaire	The Pre - Qualification Questionnaire is found from pages 24 to 45 inclusive in this document.
2.	<u>Pro-forma - Section 2</u> Memorandum and Articles of Association, or Partnership Deeds	A copy in English of the Memorandum and Articles of Association (or equivalent) for an incorporated applicant (or, in the case of a group, for each corporation forming a part of the applicant)/partnership Deeds.
	Documents relating to a joint venture, partnership or consortium.  (a) Statement of participation from constituent members.  (b) Details of previous collaborations.  (c) Specimen Joint Venture, partnership, or consortium agreement and/or other documents establishing or intending to establish the formation of such group.  (d) Details of proposed equity/other participation and areas of specialization.	f) A pro-forma statement of participation to be completed by each member as given in the Questionnaire.
	Particulars of the authority which empowers the person or persons signing the letter of application, (and if appropriate, the statement of Participation from constituent members of groups) to represent the applicant.	KMRCL wishes to ensure that applications are submitted under the signature(s) of persons who are authorized to represent the applicant. Accordingly, attested copies of such documents as powers of attorney, signed minutes of board meetings confirming board resolutions, current published lists of executive directors, etc should be submitted.
3.	<u>Pro-forma - Section 3</u> Documents relating to performance, current contracts, relevant experience.	The following documents should be submitted in respect of each constituent, whether applying individually or as part of a group :  1. Details in support of statements in the Questionnaire or annexes thereto, which relate to performance, current contracts and relevant experience.  2. Audited copy certified by Chartered Accountant for Annual financial turnover of last 10 years for Rolling Stock manufacture only.
4.	<u>Pro-forma - Section 4</u> Documents relating to Staff.	The applicant shall submit details in support of statements in the Questionnaire or annexes thereto which relate to its management organization (existing or, in the case of new groups proposed), and of staff/principal or key members of staff as provided in the Questionnaire.

SECTION NUMBER	CONTENTS OF EACH SECTION	REMARKS
5.	<p><u>Pro-forma - Section 5</u> Documents relating to ownership and control of an applicant (or, in the case of a group, each constituent member)</p>	<p>Details shall be submitted giving full details of the ownership and control of the applicant (or, in the case of a group, each constituent member).</p>
	<p>Documents relating to the financial condition of an applicant (or, in the case of a group, each constituent member)</p>	<p>The following documents should be submitted in respect of each constituent, whether applying individually or as part of a group :</p> <ol style="list-style-type: none"> <li>1. Audited accounts for each of the last five full accounting periods together with their Auditor's Certificate. Such accounts shall include the Profit and Loss statement and the Balance Sheet.</li> <li>2. A financial statement covering the period between the end of the last full accounting period. This statement should indicate all significant financial matters subsequent to the end of the last full accounting period. Additionally, the financial statement should indicate any significant off balance sheet liabilities, including contingent liabilities. The financial statement should be signed by the Managing Director or Company Secretary of the respective company.</li> </ol>
	<p>Document relating to the holding or parent company of an applicant (or, in the case of group, each constituent member).</p>	<p>If an applicant (or member of a group) is wholly or significantly owned by a holding or parent companies, the information relating to audited accounts and financial statement (as describe above) shall be provided for such intermediate or ultimate holding or parent companies. This information shall be provided in respect of all applicants, whether applying individually or as group together with Auditor's certification.</p>
	<p>Document including banking reference to demonstrate that the applicant has the liquidity to meet the requisite cash flow, after meeting requirements for known commitments</p>	<p>In respect of all applicants (whether applying individually or as part of a group) and all holding or parent companies thereof, a bankers reference (in English) should be provided from the applicant's or company's principal bank in its country of incorporation or registration. Such reference should indicate the financial standing of the applicant and access to lines of credit of other financial resources. Banking reference should also contain in clear terms that in case LOA is issued to the applicant, Bank will be in a position to lend Rs. 1000 million for this work to the applicant.</p>
6.	<p>Pro-forma Section 6 Documents relating to sub-contracting</p>	<p>The applicant shall submit details in support of statements in the Questionnaire or Annexes thereto, which relate to sub-contracting.</p>
	<p>Documents relating to design procurement</p>	<p>The applicant shall submit details in support of statements in the Questionnaire or Annexes thereto, which relate to the design team.</p>
	<p>Documents relating to manufacture and supply of major items of equipment and sub-systems, Quality Assurance and Cost Control.</p>	<p>The applicant shall submit details in support of statements in the Questionnaire or Annexes thereto, which relate to Question 26.</p>

**PRO-FORMA LETTER OF APPLICATION (on Firm's Letter Head)**

The Managing Director,  
Kolkata Metro Rail Corporation,  
4<sup>th</sup> &5<sup>th</sup> Floor, HRBC Bhaban,  
Munshi Premchand Sarani,  
KOLKATA-70021  
India.

(Applicant to provide date and reference)

**APPLICATION FOR PRE - QUALIFICATION  
TENDER NUMBER-1 RS-PQ**

Dear Sir,

We hereby make application for Pre - Qualification as a tenderer for the design, manufacture, testing and commissioning of passenger Rolling Stock (Electric Multiple Units) and indigenously sourcing some items given in the document and the assembly. In support of the application we submit herewith one original and two copies of the required documents.

(In the case of other than a sole proprietorship firm add this following paragraph)

A Power of Attorney to sign and submit this letter is attached.

(In the case of a joint venture/partnership/consortium add this paragraph)

This application is submitted on behalf of a joint venture/partnership/consortium (applicant to delete as appropriate) comprising ..... (applicant to state the names of each member) ..... and of which ..... (applicant to insert name of leading member of joint venture/partnership/consortium) has agreed to act as leader. Each member has prepared a statement of participation in relation to this application and these are contained in Section 2 herewith.

Yours faithfully,

..... (signature)

Name of signatory: .....

Capacity of signatory: .....

Name and address of applicant (or of leader if applicant is a group)

**PRO-FORMA LETTER OF PARTICIPATION FROM EACH MEMBER OF A GROUP  
(On each Firm's Letter Head)**

The Managing Director,  
Kolkata Metro Rail Corporation,  
4<sup>th</sup> &5th Floor, HRBC Bhaban,  
Munshi Premchand Sarani,  
KOLKATA-70021  
India.

(Applicant to provide date and reference)

Dear Sir,

**APPLICATION FOR PRE - QUALIFICATION  
TENDER NUMBER -1 RS-PQ**

We wish to confirm that our company/firm (delete as appropriate) has formed / intends (delete as appropriate) to form a group with ..... (member to insert names of all other members of the group) for purposes associated with Tender Number.....

(Members who are not the lead member of the group should add the following paragraph).

The group is led by (member to insert name of lead member) whom we hereby authorize to act on our behalf for the purposes of applying for Pre - Qualification.

(members being the lead member of the group should add the following paragraph)

In this group we act as leader and, for the purposes of applying for Pre - Qualification, represent the group.

In the event of our group being invited to tender for Tender No. 2 RS-P2 we agree to be jointly (with other members of our group) and severally liable to the Kolkata Metro Rail Corporation Ltd. (KMRCL), its successors and assigns for all obligations, duties and responsibilities arising from or imposed by any contract subsequently entered into between the KMRCL and our group.

Yours faithfully,

(Signature) .....

(Name of Signatory) .....

(Capacity of Signatory).....

**PRE - QUALIFICATION QUESTIONNAIRE**

Notes:

1. Each page of the Questionnaire and contents of Sections shall be signed by the Applicant.
2. This entire Questionnaire pro-forma, shall be completed in all respects.
3. Questionnaire pro-forma relating to the various sections shall be incorporated in the respective sections (i.e. Pro-forma section 2 (replies to questions 9 to 17) will be included in the contents of section 2.)
4. In the box 

Y	N
---	---

, 'Y' denote Yes and 'N' denote No. Please tick ( ✓ ) mark whichever is Applicable.
5. The Pre - Qualification Document submitted shall be numbered sequentially and the page number of each answer should be noted against the respective item below.

**PRO-FORMA SECTION I- GENERAL**

1.	Number of Tender for which Pre - Qualification is sought:  <p style="text-align: center;"><b>Tender-1 RS-PQ</b></p>
2.	Title of Tender for which Pre - Qualification is sought: DESIGN, MANUFACTURE, SUPPLY, TESTING AND COMMISSIONING, OF PASSENGER ROLLING STOCK.(ELECTRIC MULTIPLE UNITS) AND TRAINING OF PERSONNEL.
3.	State the structure of the applicant's organisation (applicants to complete/delete as appropriate) Individual company or firm Joint venture Partnership Consortium Other (please specify) .....
4.	For applicants who are individual companies or firms, state the following: Name of Company or firm: ..... Legal status: (e.g. incorporated private company, non-incorporated business, etc.) ..... Registered address: ..... ..... Principal place of business: ..... ..... Country of incorporation or domicile: ..... Contact person: ..... Contact person's title: ..... Address, telephone and facsimile number of contact person: ..... .....

<p>5.</p>	<p>For applicants who are in joint venture, partnership, consortium or other association. State the following:</p> <table border="1"> <thead> <tr> <th data-bbox="321 239 545 317">Names of members (lead member first):</th> <th data-bbox="586 239 732 273">Legal status:</th> <th data-bbox="850 239 1089 354">Registered address and principal place of business:</th> <th data-bbox="1117 239 1295 363">Country of Incorporation or Domicile.</th> </tr> </thead> <tbody> <tr> <td data-bbox="321 380 545 413">(1) .....</td> <td data-bbox="586 380 732 413">.....</td> <td data-bbox="850 380 1089 413">.....</td> <td data-bbox="1117 380 1295 413">.....</td> </tr> <tr> <td data-bbox="321 422 545 455">(2) .....</td> <td data-bbox="586 422 732 455">.....</td> <td data-bbox="850 422 1089 455">.....</td> <td data-bbox="1117 422 1295 455">.....</td> </tr> <tr> <td data-bbox="321 464 545 497">(3) .....</td> <td data-bbox="586 464 732 497">.....</td> <td data-bbox="850 464 1089 497">.....</td> <td data-bbox="1117 464 1295 497">.....</td> </tr> <tr> <td data-bbox="321 506 545 539">(4) .....</td> <td data-bbox="586 506 732 539">.....</td> <td data-bbox="850 506 1089 539">.....</td> <td data-bbox="1117 506 1295 539">.....</td> </tr> </tbody> </table> <p>Contact person (from lead member) .....</p> <p>Contact person's title: .....</p> <p>Address, telephone, and facsimile number of contact person: ..... .....</p>	Names of members (lead member first):	Legal status:	Registered address and principal place of business:	Country of Incorporation or Domicile.	(1) .....	.....	.....	.....	(2) .....	.....	.....	.....	(3) .....	.....	.....	.....	(4) .....	.....	.....	.....
Names of members (lead member first):	Legal status:	Registered address and principal place of business:	Country of Incorporation or Domicile.																		
(1) .....	.....	.....	.....																		
(2) .....	.....	.....	.....																		
(3) .....	.....	.....	.....																		
(4) .....	.....	.....	.....																		
<p>6.</p>	<p>For the applicant, (in case of a group, for each constituent member), state the following information:</p> <p>(a) Date of incorporation of organisation.</p> <p>(b) Names and titles of Directors or partners.</p> <p>(c) Has the company or firm ever failed to complete any contract for design supply and manufacturing of rolling stock awarded to it in last 10 years? If Yes give explanation.</p> <table border="1" data-bbox="1208 1209 1318 1268"> <tr> <td>Y</td> <td>N</td> </tr> </table> <p>(d) Is the firm or company involved or financially interested in any other business not directly associated with the area of work for which Pre - Qualification is sought? If Yes <i>give details</i>.</p> <table border="1" data-bbox="1208 1390 1318 1449"> <tr> <td>Y</td> <td>N</td> </tr> </table> <p>(e) Does the company or firm have an office or branch office in India? If so, provide address(es)</p> <table border="1" data-bbox="1208 1516 1318 1575"> <tr> <td>Y</td> <td>N</td> </tr> </table> <p>(f) Applicants are to present this information on sheets which are to be clearly referenced as being in response to this Question 6.</p>	Y	N	Y	N	Y	N														
Y	N																				
Y	N																				
Y	N																				
<p>7.</p>	<p>Does your company (In case of a group, each constituent member) combine all functions of a designer with those of manufacturer? Please elaborate.</p> <table border="1" data-bbox="1208 1684 1318 1743"> <tr> <td>Y</td> <td>N</td> </tr> </table> <p>.....</p>	Y	N																		
Y	N																				

8.	<p>In case of International applicants,</p> <p>(i) Is there willingness to associate an Indian Partner</p> <p>(ii) Has an association been formed with an Indian partner for the indigenous manufacture of some items and the assembly.</p> <p>If yes, provide list of disciplines / products</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>Details on Association with Indian Partner for indigenous manufacture should include:</p> <p>(a) Details of the Indian Partner, if any</p> <p>(b) Memorandum of understanding, if any</p> <p>(c) Data to support capacity of the Indian Partner to indigenously manufacture the items and the assembly.</p> <p>If not, give reasons.</p> <p>.....</p> <p>.....</p> <p>.....</p>	<table border="1" style="margin-left: auto; margin-right: auto;"><tr><td style="text-align: center;">Y</td><td style="text-align: center;">N</td></tr><tr><td style="text-align: center;">Y</td><td style="text-align: center;">N</td></tr></table>	Y	N	Y	N
Y	N					
Y	N					

**PRO-FORMA SECTION 2**

<p>9.</p>	<p>Does Section 2 contain Power of Attorney which empowers the person or persons to sign and submit the letter of application on behalf of the applicant and, if applicable, the statements of participation on behalf of all constituent members of the group? If not, give reasons. .....</p>	<table border="1"> <tr> <td>Y</td> <td>N</td> </tr> </table>	Y	N		
Y	N					
<p>10.</p>	<p>In the case of an incorporated applicant (or constituent members who are incorporated) does Section 2 contain copies, in English, of the Memorandum and Articles of Association or equivalent expression of corporate capacity? If not, give reasons. .....</p>	<table border="1"> <tr> <td>Y</td> <td>N</td> </tr> </table>	Y	N		
Y	N					
<p>11.</p>	<p>In the case of applications from groups, does Section 2 contain statements of participation in the form appearing in the Pre - Qualification Brochure for each member?  In the case of groups have you enclosed a MOU signed by each member that they will be jointly and severally responsible for the entire work?  If not, give reasons. .....</p>	<table border="1"> <tr> <td>Y</td> <td>N</td> </tr>   <tr> <td>Y</td> <td>N</td> </tr> </table>	Y	N	Y	N
Y	N					
Y	N					
<p>12.</p>	<p>Have there been previous collaborations between constituent members?  If Yes, give details. .....</p>	<table border="1"> <tr> <td>Y</td> <td>N</td> </tr> </table>	Y	N		
Y	N					
<p>13.</p>	<p>In the case of applications from groups, does Section 2 contain copies of the MOU, group agreements or other documents establishing or intending to establish the formation of such a group?  If not, give reasons. .....</p>	<table border="1"> <tr> <td>Y</td> <td>N</td> </tr> </table>	Y	N		
Y	N					



**PRO-FORMA SECTION 3**

<p>15.</p>	<p>State the number of years the applicant (or each constituent member) has been in business under the business name appearing in the answer to question 4 or 5 above.</p> <table border="1"> <thead> <tr> <th data-bbox="326 321 963 352">Name</th> <th data-bbox="963 321 1399 352">No. of years</th> </tr> </thead> <tbody> <tr> <td data-bbox="326 369 963 401">(1) .....</td> <td data-bbox="963 369 1399 401">.....</td> </tr> <tr> <td data-bbox="326 415 963 447">(2) .....</td> <td data-bbox="963 415 1399 447">.....</td> </tr> <tr> <td data-bbox="326 462 963 493">(3) .....</td> <td data-bbox="963 462 1399 493">.....</td> </tr> <tr> <td data-bbox="326 508 963 537">etc.</td> <td data-bbox="963 508 1399 537"></td> </tr> </tbody> </table>	Name	No. of years	(1) .....	.....	(2) .....	.....	(3) .....	.....	etc.	
Name	No. of years										
(1) .....	.....										
(2) .....	.....										
(3) .....	.....										
etc.											
<p>16.</p>	<p>State the number of years the applicant (or each constituent member) has been undertaking work similar in scope and nature to the works for which Pre - Qualification is sought.</p> <table border="1"> <thead> <tr> <th data-bbox="326 630 963 661">Name</th> <th data-bbox="963 630 1399 661">No. of years</th> </tr> </thead> <tbody> <tr> <td data-bbox="326 678 963 709">(1) .....</td> <td data-bbox="963 678 1399 709">.....</td> </tr> <tr> <td data-bbox="326 724 963 756">(2) .....</td> <td data-bbox="963 724 1399 756">.....</td> </tr> <tr> <td data-bbox="326 770 963 802">(3) .....</td> <td data-bbox="963 770 1399 802">.....</td> </tr> <tr> <td data-bbox="326 816 963 846">etc.</td> <td data-bbox="963 816 1399 846"></td> </tr> </tbody> </table>	Name	No. of years	(1) .....	.....	(2) .....	.....	(3) .....	.....	etc.	
Name	No. of years										
(1) .....	.....										
(2) .....	.....										
(3) .....	.....										
etc.											
<p>17a.</p>	<p>Performance Record. Applicants should scrutinise the contract description contained in this Pre - Qualification Brochure and compile a list showing their previous experience of similar contracts completed during the last ten years. Experience must show capability of full integration of sub-systems with manufacture of modern lightweight coach body, manufacture of bogies with air-bag suspension, three phase motor drives having VVVF control, regenerative braking system, Multiple operation (any two 2car unit or more in tandem) ATP/ATC safety system etc. Further information and literature associated with vehicle performance and reliability, together with technology transfer achieved on previous contracts, experience in supervision of maintenance and relevant experience of the applicant and each constituent member and clearly referenced shall be enclosed in Section 3. All material should be clearly referenced as being in response to this Question 17a.</p> <p>(i) Do you (and each constituent member of the group) authorise KMRCL to make enquiries with any of the Clients listed by the Applicant?</p> <table border="1" style="margin-left: auto; margin-right: auto;"> <tr> <td style="padding: 2px 10px;">Y</td> <td style="padding: 2px 10px;">N</td> </tr> </table> <p>(ii) Have you (and each constituent member of the group) provided details required in Annexure 1 and 1A for similar Contracts completed in the last ten years.</p> <table border="1" style="margin-left: auto; margin-right: auto;"> <tr> <td style="padding: 2px 10px;">Y</td> <td style="padding: 2px 10px;">N</td> </tr> </table> <p>(Use a separate sheet for each Contract and include in the Questionnaire)</p>	Y	N	Y	N						
Y	N										
Y	N										

17b. Works on Hand: Applicant or each constituent member should indicate in the form below, details for each similar contract / commitment which is not yet completed or for which letter of intent or acceptance has been received. : (Applicants are to present this information in the format shown below but on sheets which are to be included in the Questionnaire).  
 Have you (and each constituent member of the group) provided details required in Annexure 2 and 2A. Y   N  
 (Use a separate sheet for each Contract and include in the Questionnaire)

17c. Annual financial turnover (for Rolling Stock only) for the five years preceeding 31.3.2008(in terms of rupee equivalent adjusted to 31.3.2008 by assuming 10% escalation for Indian Rupee and 2% for foreign currency per year), along with audited copy certified by Chartered Accountant for *Annual financial turnover for each member of the group of last 5 years for Rolling Stock only.*

Financial Year	Annual financial Turnover					
	Contract Details				Bill selling Exchange Rate as on 31.3.2008	Rupee Equivalent as on 31.3.2008
	Contract Sl. No.	Currency	Value	Escalated as on 31.3.2008		
2003-04	1					
	2					
	3					
	4					
	.					
2004-05	1					
	2					
	3					
	4					
	.					
2005-06	1					
	2					
	3					
	4					
	.					
2006-07	1					
	2					
	3					
	4					
	.					
2007-08	1					
	2					
	3					
	4					
	.					

**ANNEXURE 1** (for completed contracts in last Ten Years).

**TO BE PROVIDED BY EACH MEMBER IN CASE OF A GROUP.**

**Name of the Applicant: (Name of member in case of a group),  
Sl. No.**

Project Title:	Location:
Brief scope of work including number and types of coaches:	Address:
Client::	
Client's Representative:	Tel.:
Type of Contract:	
Contract Amount in respective Currencies:	
Was an Indian Government standard form of contract used? If Yes, give details:	<input type="checkbox"/> Y <input type="checkbox"/> N
Was an international standard form of contract used? If Yes give details:	<input type="checkbox"/> Y <input type="checkbox"/> N
Was the work carried alone or as a member of the group?  If a group, indicate (i) percentage participation (ii) area(s) of participation (a) Design & Manufacture of Car body and mechanical equipments (b) Design & Manufacture of Bogie & equipments (c) Design and manufacture of Traction propulsion and control equipments (d) Integration of all sub-systems and equipments (e) Others, if any, please specify	<input type="checkbox"/> Y <input type="checkbox"/> N
Date of Award of Contract (Enclose copy of Contract agreement)	
Date work commenced:	
Original Date of completion as per Contract:	
Actual Date of completion :	
Was the date of completion given in the original contract extended?	<input type="checkbox"/> Y <input type="checkbox"/> N
If yes, Extended date of completion :	
Reasons for Extension :	
i) Contractor's default	<input type="checkbox"/> Y <input type="checkbox"/> N
ii) Employer's default	<input type="checkbox"/> Y <input type="checkbox"/> N
iii) Was the work abandoned :	<input type="checkbox"/> Y <input type="checkbox"/> N
iv) Others, if any please specify;	
Were any penalties imposed For delay? If yes, give details.	<input type="checkbox"/> Y <input type="checkbox"/> N
Were any penalties imposed for poor quality of work? If yes, give details.	<input type="checkbox"/> Y <input type="checkbox"/> N
Did the applicant go in for Arbitration ? If yes, give details.	<input type="checkbox"/> Y <input type="checkbox"/> N
Did the applicant go in for Litigation? If yes, give details.	<input type="checkbox"/> Y <input type="checkbox"/> N

<p>Contract Value as on 31. 03. 2008 prices in Rupee equivalent, assuming 10% inflation for Indian Rupees and 2% for foreign currency portion every year (<b>Exchange rate assumed to be specified</b>):</p> <p>Details of work undertaken:</p>			
<p>Were Quality Assurance obligations required in the contract?</p>	<table border="1"> <tr> <td>Y</td> <td>N</td> </tr> </table>	Y	N
Y	N		
<p>If yes, whether they were fulfilled?</p>	<table border="1"> <tr> <td>Y</td> <td>N</td> </tr> </table>	Y	N
Y	N		
<p>Were specified performance requirements of rolling stock achieved?</p> <p>If yes , please give details of reliability in terms of Mean Kilometres Between Failures (MKBF) and Availability of Rolling Stock, in terms of %, achieved during warranty period or three years from the date of commissioning whichever is longer.</p> <p><b>NOTE: "Failure" means mal – functioning of any component / equipment of Rolling Stock resulting in late arrival of the train at the destination by more than 3 minutes than the schedule or cancellation of services.</b></p> <p>If No, give reasons</p> <p>-----</p>	<table border="1"> <tr> <td>Y</td> <td>N</td> </tr> </table>	Y	N
Y	N		
<p>Has the applicant (or any member of a group) been blacklisted by a client? If Yes, Why?</p>	<table border="1"> <tr> <td>Y</td> <td>N</td> </tr> </table>	Y	N
Y	N		
<p>Has the applicant been declared insolvent If Yes, give details</p>	<table border="1"> <tr> <td>Y</td> <td>N</td> </tr> </table>	Y	N
Y	N		
<p>Has the applicant been declared bankrupt If yes, give details</p>	<table border="1"> <tr> <td>Y</td> <td>N</td> </tr> </table>	Y	N
Y	N		
<p>Was there any complaint received from the client relating to the performance of the Rolling Stock?</p> <p>If yes, give details.</p>	<table border="1"> <tr> <td>Y</td> <td>N</td> </tr> </table>	Y	N
Y	N		
<p>Was the warranty clause invoked by the client?</p> <p>If yes, give details.</p>	<table border="1"> <tr> <td>Y</td> <td>N</td> </tr> </table>	Y	N
Y	N		
<p>Did the arrangements/facilities exist to rectify defects during warranty period?</p> <p>If yes , give details including the location of facilities.</p>	<table border="1"> <tr> <td>Y</td> <td>N</td> </tr> </table>	Y	N
Y	N		
<p>Was technology transfer a part of the contract?</p> <p>If yes, what was the time frame ?</p>	<table border="1"> <tr> <td>Y</td> <td>N</td> </tr> </table>	Y	N
Y	N		
<p>Project Description including training, supervision of maintenance, transfer of technology and indigenous manufacture, training and maintenance details.</p>			



**ANNEXURE 2 (for Works on hand)  
To be provided by each member in case of a Group.**

Name of Applicant: (Name of member in case of a group).																			
Applicants (each member of the Group) should provide information on their current commitments or all contracts that have been awarded or for which a letter of intent or acceptance has been received or for contracts approaching completion but for which a completion certificate is yet to be issued in following format																			
Sl. No.	Name of Contract	Name of Client with telephone number	Date of award of Contract	No. of Coaches to be supplied of each type A : Driving Trailer B : Non-Driving Trailer C : Motor Car D : Driving Motor Car				Contract Value			No. of Coaches supplied of each type upto 31.03.2009. A : Driving Trailer B : Non-Driving Trailer C : Motor Car D : Driving Motor Car				Value of balance work yet to be done in Rupee equivalent as on 31.03.2009 (Assume inflation as given in Annexure 1)	Commencement Date	Did the Applicant go for Arbitration? If yes, give details	Did the Applicant go for Litigation? If yes, give details	Estimated Completion date
				A	B	C	D	In respective Currencies	Exchange Rate	Rupee Equivalent as on 31.03.2009 (Assume inflation as given in Annexure 1)	A	B	C	D					

Note: It is obvious that these contracts should not figure in Annexure – 1 or 1A.

**ANNEXURE 2A: Summary Information for Works on Hand  
TO BE PROVIDED BY EACH MEMBER IN CASE OF A GROUP**

Name of the applicant (constituent member in case of group)	Total number of contracts on hand	Number of contracts of each type:				Number of coaches supplied of each type upto 31.03.2009.				Number for which applicant went in for		Total value of balance works yet to be done in Rupee equivalent as on 31.03.2009
		A: Driving Trailer B: Non-Driving Trailer C: Motor Car D: Driving Motor Car				A: Driving Trailer B: Non-Driving Trailer C: Motor Car D: Driving Motor Car				Arbitration	Litigation	
		A	B	C	D	A	B	C	D			

**This information should be for all the works in progress including those listed in Annexure 2 (to be certified by the qualified Chartered Accountant).**

**PRO-FORMA SECTION 4**

18.	<p>Staff. Applicants (and each constituent member of the group) should indicate the number of staff employed (total and at specified offices). Specify number of each member's professional, technical, supervisory staff and skilled and unskilled labour at each location. Indicate how many staff are regular employees (i.e. employed for more than last 6 months) of the applicant.</p> <p>Name of the applicant (Member in case of Group)</p> <p>Location</p> <p style="text-align: center;">TOTAL</p> <p>1. ....</p> <p>2. ....</p> <p>3. ....</p>	(1) Managerial/ Professional	(2) Technical and Engineers (including those deployed in design work)	(3) Supervisory other than (1) & (2)	(4) a. Skilled Workers b. Unskilled Labour
19.	Which member of the Applicant or group will provide the Project Leader? CV of proposed Project Leader shall be furnished in the format enclosed as Annexure 3..				
20.	<p><b>Provide in Section 4 the following:</b></p> <p>Relevant CVs of the Project leader, Design Development Manager, Deputy Project leader, Interface Manager, Production Manager, Testing and Commissioning Manager and Specialists of all relevant disciplines from each group member as well as proposed Quality Assurance Manager and Safety Manager for the JV/Consortium shall be furnished in the format enclosed as Annexure 3. This number may be limited to 20. In addition provide the details of key design development and production staff (University Graduates, Degree holders and above) in the format enclosed as Annexure 4. This number may be limited to 25.</p>				
21.	<p>Provide in Section 4 the following:</p> <p>Details of your current management organisation as the applicant or, if a group, of each constituent member.</p> <p>A proposed management organisation for the contract.</p>				

<b>ANNEXURE 3</b>					
<b>CURRICULAM VITAE</b>					
1.	NAME OF CANDIDATE				
2.	DATE OF BIRTH				
3.	EDUCATIONAL QUALIFICATION				
4.	PROFESSIONAL QUALIFICATION				
5.	NAME & ADDRESS OF PRESENT EMPLOYER				
6.	DESIGNATION/POSITION				
7.	PAST EXPERIENCE (TECHNICAL AND MANAGERIAL)				
a)	Total Number of Years				
b)	Years with the Present Employer				
c)	Total number of years in work similar in scope and nature for which Pre - Qualification is sought.				
d)	Positions held in reverse chronological order along with details of Projects	Sl. No.	Position held	Period	Details of Project
		1.			
		2.			
		3.			
		4.			
		5.			
		6.			
		7.			
		8.			
		9.			
		10.			
		.			
		.			
		.			
		.			

**ANNEXURE 4**

(For Key Design development and production staff (University graduates, degree holders and above).

Sl No.	Name of Staff	Qualifications	Experience in similar works (No. of years)
1			
2			
3			
4			
5			
6			
7			
8			
9			
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11			
12			
13			
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16			
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21			
22			
23			
24			
25			

## PRO-FORMA SECTION 5

22.	Include in Section 5 details of ownership and control of applicant, or if a group, of each constituent member.
23.	<p><i>Have you in Section 5 provided documents, including Banking Reference, to demonstrate that you have access to, or have available, liquid assets, lines of credit and other financial means, as per requirement of JV individually, i.e. lead member to meet min. 40% and other partners not less than 25%, sufficient to meet cash flow of Rs. 1000 million of the proposed contract net of your commitments for other contracts.</i></p> <p>Do you authorise KMRCL to make enquiries with any of the Banks you listed in this application?</p> <p>Have you provided Annual Reports of the Applicant (and of each constituent member in the case of a group) for each of the last five years and also information given in Annexure 5.</p>

Y	N
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Y	N
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## ANNEXURE 5

Sl. No	Financial Information in Rupee equivalent	Actuals for Previous five years ending 2007-08															Projection for the current financial year 2008-09			
		Financial Year 2003-04			Financial Year 2004-05			Financial Year 2005-06			Financial Year 2006-07			Financial Year 2007-08			In respective currencies	Exchange rate	Rupee equivalent	
		In respective currencies	Exchange rate	Rupee equivalent	In respective currencies	Exchange rate	Rupee equivalent	In respective currencies	Exchange rate	Rupee equivalent	In respective currencies	Exchange rate	Rupee equivalent	In respective currencies	Exchange rate	Rupee equivalent				
1.	Total Assets																			
2.	Current Assets																			
3.	Loans & Advances																			
4.	Total Liabilities																			
5.	Current Liabilities																			
6.	Provision																			
7.	Profit before interest and Tax																			
8.	Profit before Tax but after interest																			
9.	Profit after Tax																			
10.	Net worth **																			
11.	Total Debt (including Current Liabilities)/Total Equity (including Preference capital)																			
12.	Banking Limit (from Banking reference)																			

\*\* Net worth is Paid up Capital plus Reserves & Surplus less Intangible assets.

**This information should be submitted, individually by all partners, extracted through Audited Balance sheet. (The information should be duly certified and signed by the qualified Chartered Accountant)**

## PRO-FORMA SECTION 6

24.	<p>Do you intend, in case of being invited to tender, to engage the services of an independent professional designer for the purposes of undertaking the design of the Rolling Stock or sub-systems?</p> <div style="text-align: right; margin-top: 10px;"> <table border="1" style="display: inline-table; border-collapse: collapse;"> <tr> <td style="width: 20px; height: 20px; text-align: center;">Y</td> <td style="width: 20px; height: 20px; text-align: center;">N</td> </tr> </table> </div> <p>If yes, provide the name or names of potential professional designers and the extent of their participation.</p> <p>Further details and literature should be enclosed in Section 6, clearly referenced as being in response to this Question 24.</p>	Y	N
Y	N		
25.	<p><i>Do you intend, in case of being invited to tender, to share with other manufacturers any part of the work?</i></p> <div style="text-align: right; margin-top: 10px;"> <table border="1" style="display: inline-table; border-collapse: collapse;"> <tr> <td style="width: 20px; height: 20px; text-align: center;">Y</td> <td style="width: 20px; height: 20px; text-align: center;">N</td> </tr> </table> </div> <p><i>If yes, in Section 6 provide the name or names of other manufacturers and the extent of their participation, clearly referenced as being in response to this Question 25.</i></p> <p><i>Provide details of all sub-systems and their Design and manufacturer's names that will be designed in house under (a) to (u) given below:</i></p> <ul style="list-style-type: none"> <li>a) Car body comprising of side walls, end walls, roof, under frame and cab</li> <li>b) Flooring</li> <li>c) Interior / panelling</li> <li>d) Door systems including. Its control mechanism</li> <li>e) Window and glasses</li> <li>f) Vestibules</li> <li>g) Couplers</li> <li>h) Bodies – Bogies frame, wheel, gears and axle, secondary suspension and primary suspension, bearings</li> <li>i) Traction motors</li> <li>j) Converter / inverter, Vehicle control unit, Operating system and software</li> <li>k) Static inverter</li> <li>l) Brake system including Air compressors</li> <li>m) Current collector from 3rd rail</li> <li>n) PA/PIS system, Passenger alarm system</li> <li>o) AC system</li> <li>p) Coach interior lighting system</li> <li>q) Cable harnessing system</li> <li>r) Head light, tail light, flasher lights etc.,</li> <li>s) Contactors, Connectors Sensors, Electrical Couplers (Power as well as Data)</li> <li>t) Electronic Cards</li> <li>u) Master controller, Speedometer, Event recorder, Fault Diagnostic System</li> </ul>	Y	N
Y	N		

26a.	<p>Applicants are to include in Section 6 information relating to the availability of major manufacturing plants for this work.</p> <p>Applicants or each constituent member thereof should provide in Section 6 information on the number, location and products of manufacturing plant and Design Offices that they own or operate that could be used for this contract.</p> <p>Provide similar information for manufacturing plants available in India</p> <p>Provide information on the test facilities used for proving the performance and quality of your manufactured rolling stock.</p>		
26b.	<p>Quality Assurance Programme: Do Applicants or each constituent member currently maintain an in-house Quality Assurance Programme?</p> <table border="1" data-bbox="1268 663 1378 720"><tr><td>Y</td><td>N</td></tr></table> <p>If yes, give details.</p>	Y	N
Y	N		
26c.	<p>Are you (or each constituent member in the case of a group) ISO 9000,/9001/ 9002certified? If yes, give details.</p> <table border="1" data-bbox="1268 793 1378 850"><tr><td>Y</td><td>N</td></tr></table>	Y	N
Y	N		
	<p>Do you have cost control mechanism in your organisation?</p> <table border="1" data-bbox="1268 978 1378 1035"><tr><td>Y</td><td>N</td></tr></table>	Y	N
Y	N		

**27. Conflict of Interest**

If any of the circumstances below apply to the Applicant, the Members or the Leader or the Principal, please provide details including how it is proposed to deal with such conflicts/obtain approvals.

*The applicant ( including all members of a joint venture) shall not be one of the following:*

- i) A firm or organization which has been engaged by the Employer to provide consulting services for the preparation related to procurement for or implementation of the project;*
- ii) Any association / affiliates ( inclusive of parent firm) of a firm or an organization mentioned in subparagraph(i) above or,*
- iii) A firm or an organization who lends , or temporarily seconds its personal to firms or organizations which are engaged in consulting services for the preparation related to procurement for or implementation of the project, if the personnel would be involved in any capacity of the same project.*

KMRCL must be satisfied with the manner in which an Applicant proposes to deal with any conflict or approval as part of the award process.

- (b) Identify any conflict of interest which might arise if the Applicant were to become the successful tenderer, including details of any material cross shareholdings, joint ventures, or contracts with, or investments in, any other train operator, or any owner, operator or supplier of any railway services or any rolling stock manufacturer or provider of finance for rolling stock or any other material supplier of equipment or infrastructure to the railway industry who is or may be interested in any contracts awarded or to be awarded in respect of the franchise.
- (c) Provide details of whether any director or senior manager or General Consultant who is involved in the Applicant’s proposal has within the last 3 years been employed by or worked as a consultant or otherwise for, or is related to, any officer.

**Tick as appropriate**

<p><b>Applicant’s confirmation – conflict of Interest</b></p> <p>None of the above circumstances apply</p> <p>If the answer is No, then it may be explained as to how this will be dealt with</p>	<table border="1" style="margin-left: auto; margin-right: auto;"> <tr> <td style="text-align: center;">Y</td> <td style="text-align: center;">N</td> </tr> </table>	Y	N
Y	N		
<p><b>Member 1 Confirmation</b></p> <p>None of the above circumstances apply</p> <p>If the answer is No, then it may be explained as to how this will be dealt with.</p>	<table border="1" style="margin-left: auto; margin-right: auto;"> <tr> <td style="text-align: center;">Y</td> <td style="text-align: center;">N</td> </tr> </table>	Y	N
Y	N		
<p><b>Member 2 Confirmation</b></p> <p>None of the above circumstances apply</p> <p>If the answer is No, then it may be explained as to how this will be dealt with.</p>	<table border="1" style="margin-left: auto; margin-right: auto;"> <tr> <td style="text-align: center;">Y</td> <td style="text-align: center;">N</td> </tr> </table>	Y	N
Y	N		
<p><b>Member 3 Confirmation</b></p> <p>None of the above circumstances apply</p> <p>If the answer is No, then it may be explained as to how this will be dealt with.</p>	<table border="1" style="margin-left: auto; margin-right: auto;"> <tr> <td style="text-align: center;">Y</td> <td style="text-align: center;">N</td> </tr> </table>	Y	N
Y	N		

<p><b>Parent's Confirmation</b></p> <p>None of the above circumstances apply</p> <p>If the answer is No, then it may be explained as to. how this will be dealt with</p>	
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**VERIFICATION STATEMENT**

28.	<p>I confirm and declare that no agent, middlemen or any intermediary has been or will be, engaged by me to provide any services, or any other item or work related to the award and performance of this Contract. I further confirm and declare that no agency commission or any payment which may be construed as an agency commission has been or will be, paid by me and that the tender price will not include any such amount.</p> <p>Signed.</p> <p>(to be signed by applicant and each member of the group)</p> <p>Date:</p>
29	<p>Applicants are to verify that the information contained in this completed Questionnaire, any annex thereto and all supporting and explanatory information is, to their best knowledge and belief, truthful and exact.</p> <p>By virtue of my signature below, I confirm to my best knowledge and belief the information contained in this questionnaire and sections, any annex thereto and all supporting and explanatory information is truthful and exact.</p> <p>Signed: .....</p> <p>(Same signatory as on letter of application)</p> <p>Date:</p>
30.	<p>Applicants are to verify that the Tender for the Contract in their own name and at the same time as a part of JV, Partnership or Consortium has not been submitted.</p> <p>By virtue of my signature below, I confirm and verify to my best knowledge and belief that</p> <p>(a) the Tender for this Contract has not been submitted in our own name and at the same time as a part of JV, Partnership or Consortium, and</p> <p>(b) also the Tender for this Contract has not been submitted by us as part of more than JV, Partnership or Consortium.</p> <p>The information contained in this questionnaire is truthful and exact.</p> <p>Signed: .....</p> <p><b>(to be signed by applicant and each member of the group)</b></p> <p>Date: .....</p>

31.	<p>Applicant and each member of the group (JV Consortium) shall verify, confirm &amp; declare about bankruptcy/insolvency in last ten years i.e. after 31.12.1998.</p> <p>By virtue of my signature below, I confirm and verify to my best knowledge and belief that Bankruptcy/insolvency has not been suffered by the company represented by me for submitting bid against this tender in the last 10 years.</p> <p>Signed : _____</p> <p><b>(to be signed by applicant and each member of the group)</b></p> <p>Date : _____</p>
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**NOTE:** The exchange rate, wherever mentioned, in this questionnaire shall be taken as the 'Bill Selling Rate of Exchange of the currencies at the close of business of the State Bank of India', applicable on the respective date.

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