



PRE-QUALIFICATION DOCUMENT

**PRE-QUALIFICATION OF CONTRACTORS
FOR THE WORK OF
DESIGN AND CONSTRUCTION OF TUNNEL BY SHIELD TBM
AND STATIONS BY CUT & COVER
ON
EAST-WEST CORRIDOR OF
KOLKATA METRO RAIL PROJECT**

KOLKATA METRO RAIL CORPORATION LIMITED

HRBC OFFICE COMPLEX (4TH & 5TH FLOOR)

MUNSHI PREM CHAND SARANI

KOLKATA-700 021

INDIA

January 2009

TABLE OF CONTENTS

Invitation for Prequalification	3
Instructions to Applicants	6
Letter of Application	13
General Information (Form 1)	17
General Experience Record (Form 2)	18
Joint Venture Summary (Form 2a)	19
Joint Venture Agreement (Form 2b)	20
Particular Experience Record (Form 3)	22
Details of Contracts of Similar Nature and Complexity (Form 3a)	23
Summary Sheet: Current Contract Commitments/Works in Progress (Form 4)	24
Personnel Capabilities (Form 5)	25
Candidate Summary (Form 5a)	26
Equipment Capabilities (Form 6)	27
Financial Capability (Form 7)	28
Litigation History (Form 8)	30
List of Eligible Countries of JICA ODA Loans	31
Project Information (Appendix-I).....	32-33



INVITATION FOR PREQUALIFICATION

Date: 29/01/2009

Contract Nos. KMRCL/ UG1 /UG2/UG1 & UG2

1. The Kolkata Metro Rail Corporation Limited (**KMRCL**) hereinafter called “the Employer,” has received an ODA Loan from Japan International Cooperation Agency, hereinafter referred to as the JICA, in the amount of INR 2104.2 crores equivalent in Yen toward the part cost of East West Metro Corridor, Kolkata ,the date of signing the Loan Agreement is 10/03/2008, and intends to apply a portion of the proceeds of this loan to payments under the contract<s> for which this Invitation for Prequalification is issued. Disbursement of the ODA Loan by JICA will be subject in all respects to the terms and conditions of the Loan Agreement, including the disbursement procedures and the "Guidelines for Procurement under JICA ODA Loans." No party other than KMRCL shall derive any rights from the Loan Agreement or have any right to the loan proceeds. The above Loan Agreement will cover only a part of the project cost. As for the remaining portion, KMRCL will take appropriate measures for finance.
2. JICA requires that bidders and contractors, as well as the Kolkata Metro Rail Corporation Limited (**KMRCL**), under contracts funded with JICA ODA Loans and other Japanese ODA, observe the highest standard of ethics during the procurement and execution of such contracts. In pursuance of this policy, JICA;
 - (a) will reject a proposal for award if it determines that the bidder recommended for award has engaged in corrupt or fraudulent practices in competing for the contract in question;
 - (b) will recognize a contractor as ineligible, for a period determined by JICA, to be awarded a contract funded with JICA ODA Loans if it at any times determines that the contractor has engaged in corrupt or fraudulent practices in competing for, or in executing, another contract funded with JICA ODA Loans or other Japanese ODA.
3. The Kolkata Metro Rail Corporation Limited (**KMRCL**), hereinafter “the Employer,”¹ intends to pre-qualify contractors for the following contracts under this project : ‘East West Metro Project, Kolkata’.
 - (a) **Contract package UG1** – Start Point at Howrah Maidan UG Station (CH -907m) to west end of Central UG Station (CH 2500m excluding Central Station) Including 3 UG STATIONS at Howrah Maidan , Howrah and Mahakaran AND BORED TUNNEL about 3000m twin tunnels
 - (b) **Contract Package UG2** – west end of Central UG Station (CH 2500M) to end of

underground alignment at Subhas Sarobar (CH 7763m) include 3 UG Stations at Central, Sealdah and Phool Bagan and BORED TUNNEL 4500 m twin tunnels and cut and cover transition structure.

4. It is expected that Invitations to Bid will be made in **March 2009**.

5. Prequalification is open to firms and voluntarily formed joint ventures from eligible source countries, in accordance with the Guidelines for Procurement under JBIC ODA Loans. Applications may be made for prequalification for one or more of the above contracts.

6. Eligible applicants may obtain the prequalification documents after 02/02/2009 by calling, writing, faxing, or telexing or by electronic mail: Kolkata Metro Rail Corporation Limited, HRBC Bhawan (4th & 5th floor), Munshi Prem Chand Sarani, Kolkata-700 021, India. Telefax: 91 33 2213 4350, e-mail address: ce.kmrc@gmail.com

7. The request must clearly state "Request for Prequalification Documents for KMRCL UG1 Or UG2. The documents are available for a non-refundable fee of INR 25,000 (USD 500) The Kolkata Metro Rail Corporation Limited will promptly dispatch the documents by registered airmail, but under no circumstances will it be held responsible for late delivery or loss of the documents so mailed.

8. The **minimum Eligibility Criteria** for qualification is to have successfully carried out -
FOR UG1 OR UG2

- (a) average annual turnover of the Applicant/JV/Consortium (defined as billing for works in progress and completed) over the last 5 years of INR 4800 million (USD 100 million); and
- (b) successful experience of the Applicant/JV/Consortium in the execution of at least three projects of a nature and complexity comparable to the proposed contract within the last 10 years ending 31/03/2008; this experience should include

The Consortium as a whole during last 10 years

- (i) Executed and completed at least one single work of tunneling by SHIELD TBM of 3 km length of inner finished Dia. \geq 5 m (Single tunnel length to be counted); *and*
- (ii) Executed and completed at least one underground station by cut and cover method (including top down construction).

For UG1 Contract the following additional criteria is specified

- (iii) Experience of having worked, completed, for construction of Tunnel either under Sea/Ocean or under Mighty River as comparable to Hooghly anywhere in the world.

For UG 1 & UG 2 (both)

- (a) average annual turnover of the Applicant/JV/Consortium (defined as billing for works in progress and completed) over the last 5 years of INR 7200 million (USD 150 million); and
- (b) successful experience of the Applicant/JV/Consortium in the execution of at least three projects of a nature and complexity comparable to the proposed contract within the last 10 years ending 31/03/2008; this experience should include

The Consortium as a whole during last 10 years -

- (i) Executed and completed at least one single work of tunneling by SHIELD TBM of **5 km length** of inner finished Dia. \geq 5 m (Single tunnel length to be counted); **or** two works of tunneling by Shield TBM at least of 3 km each length of Inner finished dia more than 5 m; **and**
- (ii) Executed and completed at least one work of two underground stations by cut and cover method (including top down construction); or
Executed and completed at least two works of one underground station each by cut and cover method (including top down construction).
- (iii) Experience of having worked, completed, for construction of Tunnel either under Sea/Ocean or under Mighty River as comparable to Hooghly anywhere in the world.

9. Submissions of Applications for Prequalification must be received in sealed envelopes, either delivered by hand or by registered mail to:

'The Chief Engineer, Kolkata Metro Rail Corporation Limited, HRBC Bhawan (4th & 5th floor), Munshi Prem Chand Sarani, Kolkata-700 021, India. Telefax: 91 33 2213 4350, e-mail address: ce.kmrc@gmail.com

not later than: 27/03/2009 at 17.00 hrs.

and be clearly marked "Application to Pre-qualify for '**DESIGN AND CONSTRUCTION OF TUNNEL BY SHIELD TBM AND STATIONS BY CUT & COVER**' – Contract No. KMRCL/ UG1 or UG2 or UG1&UG2 .

10. Late or delayed applications will not be accepted.

11 Applicants will be advised, in due course, of the results of their applications. Only firms and joint ventures pre-qualified under this procedure will be invited to bid.

For details please visit our website www.kmrc.in

Chief Engineer
Kolkata Metro Rail Corporation Limited

INSTRUCTIONS TO APPLICANTS

Construction of East West Metro Corridor, Kolkata
Kolkata Metro Rail Corporation Limited (**KMRCL**)

Date: 29/01/2009

Contract No.: KMRC/UG1/UG2/UG1&UG2

- 1. Scope of Bid**
- 1.1 The Kolkata Metro Rail Corporation hereinafter called "the Employer," has received an ODA Loan from Japan International Cooperation Agency, hereinafter referred to as the JICA, in the amount of INR 2104.2 crore equivalent in Yen toward the part cost of East West Metro Corridor, Kolkata the date of signing the Loan Agreement is 10/03/2008, and intends to apply <a portion of> the proceeds of this loan to payments under the contract<s> for which this Invitation for Prequalification is issued. Disbursement of the ODA Loan by JICA will be subject in all respects to the terms and conditions of the Loan Agreement, including the disbursement procedures and the "Guidelines for Procurement under JBIC ODA Loans." No party other than KMRCL shall derive any rights from the Loan Agreement or have any right to the loan proceeds. The above Loan Agreement will cover only a part of the project cost. As for the remaining portion, KMRCL will take appropriate measures for finance.
 - 1.2 JICA requires that bidders and contractors, as well as KMRCL, under contracts funded with JICA ODA Loans and other Japanese ODA, observe the highest standard of ethics during the procurement and execution of such contracts. In pursuance of this policy, JICA;
 - (a) will reject a proposal for award if it determines that the bidder recommended for award has engaged in corrupt or fraudulent practices in competing for the contract in question;
 - (b) will recognize a contractor as ineligible, for a period determined by JICA, to be awarded a contract funded with JICA ODA Loans if it at any times determines that the contractor has engaged in corrupt or fraudulent practices in competing for, or in executing, another contract funded with JICA ODA Loans or other Japanese ODA.
 - 1.3 The Employer intends to pre-qualify contractors for the following Underground civil works under the East West Metro Project Kolkata. Applications may be made to pre-qualify for one or more of the above contracts. It is expected that Invitations to Bid will be made in March 2009.

- 1.4 Prequalification is open to firms and voluntarily formed joint ventures from eligible source countries as attached List of Eligible Source Countries included in this Prequalification Documents.
- 1.5 General information on the climate, hydrology, topography, access to site, transportation and communications facilities, project layout, expected construction period, and *other relevant data* is attached on a separate sheet at **Appendix-I** – Project Information. The contract will be a lump sum Design & Built contract. The bidding documents will be Sample bidding documents for Procurement of Civil Works under JBIC ODA Loans, including their currency and securities provisions.

2. Submission of Applications

- 2.1 **SUBMISSION OF APPLICATIONS FOR PREQUALIFICATION MUST BE RECEIVED IN SEALED ENVELOPES, EITHER DELIVERED BY HAND, COURIER OR BY REGISTERED MAIL AT 'KOLKATA METRO RAIL CORPORATION LIMITED, HRBC OFFICE COMPLEX (4TH & 5TH Floor), MUNSHI PREM CHAND SARANI, KOLKATA-700 021, INDIA'.**

not later than 27/03/2009 at 17.00 hrs.

and be clearly marked "Application to Pre-qualify for Design & Construction Contractors for Underground Civil works/KMRCL/UG1/UG2/UG1&UG2".

- 2.2 The name and mailing address of the Applicant shall be clearly marked on the envelope.
- 2.3 All the information requested for prequalification shall be answered in the English language. Where information is provided in another language, it shall be accompanied by a translation into English language, which will prevail and will be used for interpreting the information.
- 2.4 Failure to provide information that is essential to evaluate the Applicant's qualifications, or to provide timely clarification or substantiation of the information supplied, may result in disqualification of the Applicant.
- 2.5 A clarification meeting will be held on 28/02/2009 at 12.00 hrs in the Conference Room of Kolkata Metro Rail Corporation Limited at HRBC Bhawan, Munshi Prem Chand Sarani, Kolkata-700 021, India which prospective applicants may request clarification of the Project requirements and the criteria for qualification. Attendance to the clarification meeting is not mandatory.

3. Eligible Bidders

- 3.1 This invitation to pre-qualify is open to any bidder from an eligible source country as attached List of Eligible Source Countries included in this Prequalification Documents.

4. Qualification Criteria

- 4.1 Prequalification will be based on meeting all the following minimum pass/fail criteria regarding the Applicant's general and particular experience, personnel and equipment capabilities, and financial position, as demonstrated by the Applicant's responses in the

forms attached to the Letter of Application (specific requirements for joint ventures are given under paras. 5.1 and 5.2 below). The Employer reserves the right to waive minor deviations if they do not materially affect the capability of an applicant to perform the contract.

4.2 When highly specialized inputs (essential for execution of the Contract) are required by the Applicant from specialist subcontractors, such subcontractors and their inputs shall be described in Application Form 3.

4.3 **General Experience.** The Applicant/JV/Consortium shall meet the following minimum criteria:

General Experience. FOR UG1 OR UG2

The Applicant/JV/Consortium shall meet the following minimum criteria:

(a) average annual turnover of the Applicant/JV/Consortium (defined as billing for works in progress and completed) over the last 5 years of INR 4800 million (USD 100 million);

and

(b) successful experience as prime contractor in the execution of at least three projects of a nature and complexity comparable to the proposed contract within the last 10 years ending 31/03/2008; this experience should include

The Consortium as a whole During last 10 years

(i) Executed and completed at least one single work of tunneling by SHIELD TBM of 3 km length of inner finished Dia. \geq 5 m (Single tunnel length to be counted); *and*

(ii) Executed and completed at least one underground station by cut and cover method (including top down construction).

For **UG1** Contract the following additional criteria is specified

(iii) Experience of having worked, completed, for construction of Tunnel either under Sea/Ocean or under Mighty River as comparable to Hooghly anywhere in the world.

For UG 1 & UG 2 (Combined)

(a) average annual turnover of the Applicant/JV/Consortium (defined as billing for works in progress and completed) over the last 5 years of INR 7200 million (USD 150 million); and

(b) successful experience of the Applicant/JV Consortium in the execution of at least three projects of a nature and complexity

comparable to the proposed contract within the last 10 years ending 31/03/2008; this experience should include

The Consortium as a whole During last 10 years

(i) Executed and completed at least one single work of tunneling by SHIELD TBM of 5 km length of inner finished Dia. \geq 5 m (Single tunnel length to be counted); or two works of tunneling by Shield TBM of at least 3 km each length of Inner finished dia more than 5 m; *and*

(ii) Executed and completed at least one work of two underground stations by cut and cover method (including top down construction); or

Executed and completed at least two works of one underground station each by cut and cover method (including top down construction).

(iii) Experience of having worked, completed, for construction of Tunnel either under Sea/Ocean or under Mighty River as comparable to Hooghly anywhere in the world.

4.4 Personnel Capabilities. The Applicant must have suitably qualified personnel to fill the following positions. In Form 5, the Applicant will supply information on a prime candidate and on an alternate for each position; both people should meet the experience requirements specified below:

Position	Total Experience (years)	In Similar Works (years)	As Manager of Similar Works (years)
Project Manager (1)	20	10	3
Deputy Project Manager (3)	10	5	2
Tunneling Manager (1)	10	5	2
Chief E&M Expert (2)	10	5	2
Civil Engineers (6)	10	5	2
Chief Safety Officer (1)	10	5	2
Chief Quality Engineer (1)	10	5	2
Chief Design Expert (1)	10	5	2
Planning Engineer (1)	10	5	2
Others			

Note: Minimum for each work UG1 or UG2

4.5 **Equipment Capabilities.** The Applicant should own, or have assured access (through hire, lease, purchase agreement, availability of manufacturing equipment, or other means) to the following key items of equipment in full working order, and must demonstrate that, based on known commitments, they will be available for use in the proposed contract. The Applicant may also list alternative equipment that it would propose for the contract, together with an explanation of the proposal.

Equipment type and characteristics	Minimum number required
1. TBM with full back up arrangement complete including lining erection equipment and locos and gantry cranes etc.	3
2. Full casting yard equipment for casting of tunnel lining.	3
3. Diaphragm wall equipment	6
4. Piling rigs	3
5. Excavators	9
6. Long boom excavators	3
7. Dozers	15
8. Other equipments	

Note: Minimum for each work UG1 or UG2

4.6 **Financial Position.** The Applicant should demonstrate that it has access to, or has available, liquid assets, unencumbered real assets, lines of credit, and other financial means sufficient to meet the construction cash flow for a period of 3 months during the duration of contract, estimated as INR 500 million US\$ 12 million, net of the Applicant's commitments for other contracts for UG 1 or UG 2 and INR 1000 million (USD 24 million) for UG1 & UG 2.

4.7 The audited financial statements for the last five years shall be submitted and must demonstrate the soundness of the Applicant's financial position, showing long-term profitability. Where necessary, the Employer will make inquiries with the Applicant's bankers.

4.8 **Litigation History.** The Applicant should provide accurate information on any litigation or arbitration resulting from contracts completed or under its execution over the last 10 years. A consistent history of awards against the Applicant or any partner of a joint venture may result in failure of the application.

5. Joint Ventures

5.1 Joint ventures must comply with the following requirements:

(a) Following are the minimum qualification requirements:

(i) The lead partner shall meet not less than 50 percent of all the

qualifying criteria given in paras. 4.3 and 4.6 above.

(ii) Each of the other partners shall meet individually not less than 25% of all the qualifying criteria given in paras. 4.3(a) and 4.6 above.

(iii) The joint venture must satisfy collectively the criteria of paras 4.3, 4.4 through 4.6, for which purpose the relevant figures for each of the partners shall be added together to arrive at the joint venture's total capacity. Individual members must each satisfy the requirements of paras. 4.7 and 4.8 above.

(b) The formation of a joint venture after prequalification, and any change in a pre-qualified joint venture, will be subject to the written approval of the Employer 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 meet 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 the Employer, a substantial reduction in competition may result.

(c) 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 the joint venture agreement, as in Application Form 2a and 2b, providing the joint and several liabilities with respect to the contract.

5.2 The prequalification of a joint venture does not necessarily pre-qualify any of its partners individually or as a partner in any other joint venture or association. In case of dissolution of a joint venture, each one of the constituent firms may pre-qualify if it meets all of the prequalification requirements, subject to the written approval of the Employer.

6. Conflict of Interest

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

(i) A firm or an organization which has been engaged by the Employer to provide consulting services for the preparation related to procurement for or implementation of this 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 personnel 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.

**7. Updating
Prequalification
Information**

7.1 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.

8. General

8.1 Only firms and joint ventures that have been pre-qualified under this procedure will be invited to bid. A qualified firm or a member of a qualified joint venture may participate in only one bid for the contract. If a firm submits more than one bid, singly or in joint venture, all bids including that party will be rejected. This rule may not apply in respect of bids that include specialist subcontractors who are used by more than one bidder.

8.2 Bidders will be required to provide bid security in the form of a certified check, letter of credit, or a bank guarantee from a reputable bank of the Bidder's choice located in any eligible country for an amount of INR 80 million (USD 1.6 million). The successful bidder will be required to provide performance security. Examples of acceptable forms will be supplied with the bidding documents.

8.3 The Employer reserves the right to

- (a) amend the scope and value of any contract<s> to be bid, in which event the contract<s> will only be bid among those pre-qualified bidders who meet the requirements of the contract<s> as amended;
- (b) reject or accept any application; and
- (c) cancel the prequalification process and reject all applications.

The Employer shall neither be liable for any such actions nor be under any obligation to inform the Applicant of the grounds for them.

8.4 Applicants will be advised by the Employer in writing by fax or telex, within 90 days of the date for submission of applications (para. 2.1 above), of the result of their application, and of the names of the pre-qualified applicants, without being assigned any reason for the Employer's decision.

Letter of Application

[letterhead paper of the Applicant or partner responsible for a joint venture, including full postal address, telephone no., fax no., telex no., and cable address]

Date:.....

To: The Managing Director
Kolkata Metro Rail Corporation Limited
HRBC Bhawan (4th & 5th floor)
Munshi Prem Chand Sarani
Kolkata – 700 021
India

Sir,

1. Being duly authorized to represent and act on behalf of (hereinafter referred to as “the Applicant”), and having reviewed and fully understood all of the prequalification information provided, the undersigned hereby apply to be pre-qualified by yourselves as a bidder for the following contract<s> under the*[name of the Project] project:

Contract number	Contract name*
1. UG 1	
2. UG 2	
3. UG 1 & UG 2	

<Note: The Applicant is to delete, in ink, any contract for which it does not wish to pre-qualify, and sign and date the deletion.>*

2. Attached to this letter are copies of original documents defining²:

- (a) the Applicant's legal status;
- (b) the principal place of business; and
- (c) the place of incorporation (for applicants who are corporations), or the place of registration and the nationality of the owners (for applicants who are partnerships or individually-owned firms).

3. Your Agency and its authorized representatives are hereby authorized to conduct any inquiries or investigations to verify the statements, documents, and information submitted in connection with this application, and to seek clarification from our bankers and clients regarding any financial and technical aspects. This Letter of Application will also serve as authorization to any individual or authorized representative of any institution referred to in the supporting information, to provide such information deemed necessary and as requested by yourselves to verify statements and information provided in this application, such as the resources, experience, and competence of the Applicant.

4. Your Agency and its authorized representatives may contact the following persons for further information³:

General and managerial inquiries	
Contact 1	Telephone 1
Contact 2	Telephone 2

Personnel inquiries	
Contact 1	Telephone 1
Contact 2	Telephone 2

Technical inquiries	
Contact 1	Telephone 1
Contact 2	Telephone 2

² For applications by joint ventures, all the information requested in the prequalification documents is to be provided for the joint venture, if it already exists, and for each party to the joint venture separately. The lead partner should be clearly identified. Each partner in the joint venture shall sign the letter.

³ Applications by joint ventures should provide on a separate sheet equivalent information for each party to the application.

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Financial inquiries	
Contact 1	Telephone 1
Contact 2	Telephone 2

5. This application is made with the full understanding that:

- (a) bids by pre-qualified applicants will be subject to verification of all information submitted for prequalification at the time of bidding;
- (b) your Agency reserves the right to:
 - amend the scope and value of any contracts bid under this project; in such event, bids will only be called from pre-qualified bidders who meet the revised requirements; and
 - reject or accept any application, cancel the prequalification process, and reject all applications.
- (c) your Agency shall not be liable for any such actions and shall be under no obligation to inform the Applicant of the grounds for them.

Applicants who are not joint ventures should delete paras. 6 and 7 and initial the deletions.

6. Appended to this application, we give details of the participation of each party, including capital contribution and profit/loss agreements, in the joint venture or association. We also specify the financial commitment in terms of the percentage of the value of the <each> contract, and the responsibilities for execution of the <each> contract.

7. We confirm that if we bid, that bid, as well as any resulting contract, will be:

- (a) signed so as to legally bind all partners, jointly and severally; and
- (b) submitted with a joint venture agreement providing the joint and several liability of all partners in the event the contract is awarded to us.

8. The undersigned declare that the statements made and the information provided in the duly completed application are complete, true, and correct in every detail.

Signed	Signed
Name	Name
For and on behalf of (name of Applicant or lead partner of a joint venture)	For and on behalf of (name of partner)

Signed	Signed
Name	Name
For and on behalf of (name of partner)	For and on behalf of (name of partner)

Signed	Signed
Name	Name
For and on behalf of (name of partner)	For and on behalf of (name of partner)

General Information

All individual firms and each partner of a joint venture applying for prequalification are requested to complete the information in this form. Nationality information should be provided for all owners or applicants who are partnerships or individually-owned firms.

Where the Applicant proposes to use named subcontractors for critical components of the works (reference sub-clause 4.2 of the Instructions), the following information should also be supplied for the specialist subcontractor(s), together with a brief description of their specialized input.

1.	Name of firm	
2.	Head office address	
3.	Telephone	Contact
4.	Fax	Telex
5.	Place of incorporation / registration	Year of incorporation / registration

<i>Nationality of owners⁴</i>		
	<i>Name</i>	<i>Nationality</i>
1.		
2.		
3.		
4.		
5.		

⁴ To be completed by all owners of partnerships or individually-owned firms.

General Experience Record

Name of Applicant or partner of a joint venture

All individual firms and all partners of a joint venture are requested to complete the information in this form. The information supplied should be the annual turnover of the Applicant (or each member of a joint venture), in terms of the amounts billed to clients for each year for work in progress or completed, converted to U.S. dollars at the rate of exchange at the end of the period reported.

Use a separate sheet for each partner of a joint venture.

Applicants should not be required to enclose testimonials, certificates, and publicity material with their applications; they will not be taken into account in the evaluation of qualifications.

Annual turnover data (construction only)		
Year	Turnover	INR OR US\$ equivalent
1.		
2.		
3.		
4.		
5.		

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 (construction only; US\$ equivalent)</i>						
<i>Partner</i>	<i>Form 2 page no.</i>	Year 1	Year 2	Year 3	Year 4	Year 5
<i>1. Lead partner</i>						
<i>2. Partner</i>						
<i>3. Partner</i>						
<i>4. Partner</i>						
<i>5. Partner</i>						
<i>6. Partner</i>						
<i>Totals</i>						

Joint Venture Agreement

To: The Managing Director
Kolkata Metro Rail Corporation Limited
HRBC Bhawan (4th & 5th floor)
Munshi Prem Chand Sarani
Kolkata – 700 021
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)
1. Lead Partner	
2. Partner	
3. Partner	
4. 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)
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5.	Name:	Signature:
	Position:	Date:
	Representative of: (Organization's Name)	

Particular Experience Record

Name of Applicant or partner of a joint venture

To pre-qualify, the Applicant shall be required to pass the specified requirements applicable to this form, as set out in the "Prequalification Instructions to Applicants".

On a separate page, using the format of Form (3a), the Applicant/JV/Consortium is requested to list all contracts of a value at least equivalent to INR 4000 million (US\$ 80 million) of a similar nature and complexity to the contract for which the Applicant wishes to qualify and undertaken during the last 10 years. The partners of a joint venture should provide details of similar contracts proportionate to their share in the joint venture. The value should be based on the currencies of the contracts converted into U.S. dollars, at the date of substantial completion, or for current contracts at the time of award. The information is to be summarized, using Form (3a), for each contract completed or under execution, by the Applicant or by each partner of a joint venture.

Where the Applicant proposes to use named subcontractors for critical components of the works, the information in the following forms should also be supplied for each specialist subcontractor.

It may be permissible to request applicants to enclose evidence documents for work in progress or completed, only to the extent that it does not discourage the applicants from submission of applications. Use of copy of certificates is recommended.

Summary Sheet: Current Contract Commitments / Works in Progress

Name of Applicant or partner of a joint venture

Applicants and each partner to an application should provide information on their current commitments on 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 an unqualified, full completion certificate has yet to be issued.

<i>Name of contract</i>	<i>Value of outstanding work (current US\$ equivalent)</i>	<i>Estimated completion date</i>
1.		
2.		
3.		
4.		
5.		
6.		

Personnel Capabilities

Name of Applicant

For specific positions essential to contract implementation, applicants should provide the names of at least two candidates qualified to meet the specified requirements stated for each position. The data on their experience should be supplied in separate sheets using one Form (5a) for each candidate.

1.	Title of position*
	Name of prime candidate
	Name of alternate candidate
2.	Title of position*
	Name of prime candidate
	Name of alternate candidate
3.	Title of position*
	Name of prime candidate
	Name of alternate candidate
4.	Title of position*
	Name of prime candidate
	Name of alternate candidate

Candidate Summary

Name of Applicant

Position	Candidate	
	Prime	Alternate
<i>Candidate information</i>	1. Name of candidate	2. Date of birth
	8. Professional qualifications	
<i>Present employment</i>	9. Name of employer	
	Address of employer	
	Telephone	Contact (manager / personnel officer)
	Fax	Telex
	Job title of candidate	Years with present employer

Summarize professional experience over the last 20 years, in reverse chronological order. Indicate particular technical and managerial experience relevant to the Project.

<i>From</i>	<i>To</i>	<i>Company / Project / Position / Relevant technical and management experience</i>

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Equipment Capabilities

Name of Applicant

The Applicant shall provide adequate information to demonstrate clearly that it has the capability to meet the requirements for each and all items of equipment listed in the Instructions to Applicants. A separate Form (6) shall be prepared for each item of equipment listed in para. 4.5 of the Instructions to Applicants, or for alternative equipment proposed by the Applicant.

Item of equipment		
<i>Equipment information</i>	1. Name of manufacturer	2. Model and power rating
	3. Capacity	4. Year of manufacture
<i>Current status</i>	5. Current location	
	10. Details of current commitments	
<i>Source</i>	11. Indicate source of the equipment <div style="display: flex; justify-content: space-around; font-size: small;"> Owned Rented Leased Specially manufactured </div>	

Omit the following information for equipment owned by the Applicant or partner.

<i>Owner</i>	8. Name of owner	
	12. Address of owner	
	Telephone	Contact name and title
	Fax	Telex
<i>Agreements</i>	Details of rental / lease / manufacture agreements specific to the Project	



Financial Capability

Name of Applicant or partner of a joint venture

Applicants, including each partner of a joint venture, should provide financial information to demonstrate that they meet the requirements stated in the Instructions to Applicants. Each applicant or partner of a joint venture must fill in this form. If necessary, use separate sheets to provide complete banker information. A copy of the audited balance sheets and statement of profit and losses should be attached.

Banker	Name of banker		
	Address of banker		
	Telephone	Contact name and title	
	Fax	Telex	

Summarize actual assets and liabilities in U.S. dollar equivalent (at the rates of exchange current at the end of each year) for the previous five years.

<i>Financial information in US\$ equivalent</i>	<i>Actual: previous five years</i>				
	1.	2.	3.	4.	5.
1. Total assets					
2. Current assets					
3. Total liabilities					
4. Current liabilities					
5. Sales					
6. Ordinary Profits					
7. Profits before taxes					
8. Profits after taxes					

Specify proposed sources of financing to meet the cash flow demands of the Project, net of current commitments for other contracts (Instructions to Applicants, para. 4.6).

<i>Source of financing</i>	<i>Amount (US\$ equivalent)</i>
1.	
2.	
3.	
4.	

Attach audited financial statements for the last five years (for the individual applicant or each partner of a joint venture).

Firms owned by individuals, and partnerships, may submit their balance sheets certified by a registered accountant, and supported by copies of tax returns, if audits are not required by the laws of their countries of origin.

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

Litigation History

Name of Applicant or partner of a joint venture

Applicants, including each of the partners of a joint venture, should provide information on any history of litigation or arbitration resulting from contracts executed in the last 10 years or currently under execution (Instructions to Applicants, para. 4.8). A separate sheet should be used for each partner of a joint venture.

Year	Award FOR or AGAINST Applicant	Name of client, cause of litigation, and matter in dispute	Disputed amount (current value, US\$ equivalent)

List of Eligible Countries of JICA ODA Loans

ALL COUNTRIES ARE ELIGIBLE ON DATE

PROJECT INFORMATION

1.1 **KOLKATA CITY PROFILE** - Kolkata is located in the Eastern part of India in the meridian of 23 deg N latitude and 88 deg E longitude spread over an area of 450 sq km (approx) consisting of Kolkata Municipal Corporation, Howrah Municipal Corporation, Salt lake city and New town with total population of about 6 million. The maximum temp during summer is 38 deg C and minimum temp during winter is 8 deg C. The annual rainfall is about 1200mm and the monsoon period is from 15th June to 15 Oct.

1.2 PROJECT DESCRIPTION

East West corridor of Kolkata Metro Rail Project is a Medium Capacity Metro rail transit system covering a route length of approximately 15 km. 9 km out of total 15 km is underground with 6 underground stations between Howrah Maidan & Subhas Sarovar which is presently planned to be made by SHIELD TBM except Stations which are to be constructed by cut & cover method. Broadly, the underground alignment runs from Howrah Maidan to Howrah Station, passing below Hooghly River, Mahakaran Station, Central Station, Sealdah Station, Phool Bagan Station till Subhas Sarovar. There will be following 2 contract packages for this portion for underground works. The Design and construct contracts as outlined above are to be awarded for this portion.

(a) **Contract package UG1** – Start Point at Howrah Maidan UG Station (CH -907m) to west end of Central UG Station (CH 2500m excluding Central Station) Including 3 UG STATIONS at Howrah Maidan , Howrah and Mahakaran AND BORED TUNNEL about 3000m twin tunnels

(b) **Contract Package UG2** – west end of Central UG Station (CH 2500M) to end of underground alignment at Subhas Sarobar (CH 7763m) include 3 UG Stations at Central, Sealdah and Phool Bagan and BORED TUNNEL 4500 m twin tunnels and cut and cover transition structure.

The index plan of alignment is enclosed.

SALIENT FEATURES

S.N	Feature
1	Gauge (Nominal) 1435 mm
2	Route Length Underground 9.00 Km Elevated 5.70 Km Total 14.70 Km
3	Number of stations Underground 6 Nos. Elevated 6 Nos. Total 12 Nos. Stations and trains air conditioned, tunnel naturally ventilated with fans in emergencies
4	Designed speed 80 kmph
5	TRACTION POWER SYSTEM a) Traction system voltage 750 V dc b) Current Collection Third Rail
6	Rolling Stock a) 2.88 m wide with stainless steel body b) Axle load 16 t c) Initially 4 car rakes and finally 6 car
7	Commissioning for operations: Full Project 31 st October, 2014.

1.4 Project Status

The Project has been approved by Govt. of India in March 2008. **Final Location Survey of the approved alignment is in progress.** The area of land to be acquired has been assessed and process of acquisition has been started.

The RFP for General Consultants has been opened and it is under finalization. Contract of GC is expected to be awarded by January 2009. The Tenders for Elevated Viaduct and stations have been invited. The time of completion for the contracts for underground civil works will be 4 years.