



**Prequalification Document for Procurement of
Design and Construction of Civil, Structures and Track
Works, involving Formation in Embankment /Cutting,
Ballast on Formation, Track Works, Bridges, Structures,
Buildings, Yards &Integration with Indian Railway's
Existing Railway System and Testing & Commissioning on
Design-Build Lump Sum Basis of Sahnewal-Pilkhani
Section (approximately 175 Route Km of Single Line) and
Dadri-Khurja Section (approximately 46 Route Km of
Double Line) of Eastern Dedicated Freight Corridor**

Invitation for Prequalification No.

ICB No.: HQ/EN/EC/D-B/Sahnewal-Pilkhani and Dadri-Khurja Sections
Dated: 05.03.2014

CONTRACT PACKAGES - 301 &302

Employer:

DEDICATED FREIGHT CORRIDOR CORPORATION OF INDIA LIMITED

(A GOVERNMENT OF INDIA ENTERPRISE)

MINISTRY OF RAILWAYS

COUNTRY: INDIA

Issued on: 05.03.2014

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Section I. Instructions to Applicants

A. General

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| 1. Scope of Application | 1.1 In connection with the Invitation for Prequalification ¹ indicated in Section II, Prequalification Data Sheet (PDS), the Employer, as defined in the PDS , issues this Prequalification Document ("Prequalification Document") to prospective applicants ("Applicants") interested in submitting applications ("Applications") for prequalification to bid for the Works described in Section VII, Scope of Works. In case the Works are to be bid as individual contracts (i.e. the slice and package procedure), these are listed in the PDS. The International Competitive Bidding ("ICB") number corresponding to this prequalification is also provided in the PDS . |
| 2. Source of Funds | 2.1 The Borrower or Recipient (hereinafter called "Borrower") indicated in the PDS has applied for or received financing (hereinafter called "funds") from the International Bank for Reconstruction and Development or the International Development Association (hereinafter called "the Bank") towards the cost of the project named in the PDS . The Borrower intends to apply a portion of the funds to eligible payments under the contract(s) resulting from the bidding for which this prequalification is conducted. Payment by the Bank will be made only at the request of the Borrower and upon approval by the Bank, and will be subject, in all respects, to the terms and conditions of the loan (or financing) agreement. The loan (or financing) agreement prohibits a withdrawal from the loan (or credit) account for the purpose of any payment to persons or entities, or for any import of goods, if such payment or import, to the knowledge of the Bank, is prohibited by a decision of the United Nations Security Council taken under Chapter VII of the Charter of the United Nations. No party other than the Borrower shall derive any rights from the loan (or financing) agreement or have any claim to the proceeds of the loan (or credit). |
| 3. Corrupt and Fraudulent Practices | 3.1 The Bank requires compliance with its policy in regard to corrupt and fraudulent practices as set forth in Section VI. 3.2 In further pursuance of this policy, Applicants shall permit and shall cause its agents to permit the Bank to inspect all accounts, records and other documents relating to the submission of the Application, |

¹ The Invitation for Prequalification (IFP) provided information for potential bidders to decide whether to participate, including the essential items listed in the Standard Prequalification Document and also any important or specialized prequalification requirements requested to qualify for the prequalification.

bid submission (in case prequalified), and contract performance (in the case of award), and to have them audited by auditors appointed by the Bank.

4. Eligible Applicants

- 4.1 Applicants shall meet the eligibility criteria as per clause 5.1. For the purpose of applying the eligibility criteria listed in this Clause 4 and 5, references to the “Applicant” include all entities involved or intended to be involved with the proposed Works (including all partners and any of their affiliates that directly or indirectly control, or are controlled by or are under common control with the firm), specialized sub-contractors, consultants, manufacturers or suppliers (as mentioned in Form ELI-1.2 Applicant’s Party Information Form), and the personnel of each, for any part of the contract including related services.
- 4.2 An Applicant may be a firm that is a private entity, a government-owned entity—subject to ITA 4.9 - or a combination of such entities in the form of a joint venture (“JV”) under an existing agreement or with the intent to enter into such an agreement supported by a letter of intent. In the case of a JV, all members shall be jointly and severally liable for the execution of the Contract in accordance with the Contract terms. The JV shall nominate an authorized representative who shall have the authority to conduct all business for and on behalf of any and all the members of the JV during the prequalification process, bidding (in the event the JV submits a bid) and during contract execution (in the event the JV is awarded the Contract). Unless specified in the **PDS**, there is no limit on the number of members in a JV.
- 4.3 A firm may apply for prequalification both individually, and as part of a joint venture, or as a sub-contractor. If prequalified, it will not be permitted to bid for the same contract both as an individual firm and as a part of the joint venture or as a sub-contractor. However, a firm may participate as a sub-contractor in more than one bid, but only in that capacity. Bids submitted in violation of this procedure will be rejected.
- 4.4 A firm and any of its affiliates (that directly or indirectly control, are controlled by or are under common control with that firm) may submit its application for prequalification either individually, as joint venture or as a sub-contractor among them for the same contract. However, if prequalified only one prequalified applicant will be allowed to bid for the same contract. All bids submitted in violation of this procedure will be rejected.
- 4.5 An Applicant may have the nationality of any country, subject to the

restrictions pursuant to ITA 5.1. An Applicant shall be deemed to have the nationality of a country if the Applicant is constituted, incorporated or registered in and operates in conformity with the provisions of the laws of that country, as evidenced by its articles of incorporation (or equivalent documents of constitution or association) and its registration documents, as the case may be. This criterion also shall apply to the determination of the nationality of proposed specialized sub-contractors or suppliers for any part of the Contract including related Services.

- 4.6 Applicants shall not have a conflict of interest. Applicants shall be considered to have a conflict of interest, if they participated as a consultant in the preparation of the design or technical specifications or have been hired or proposed to be hired by the Employer or Borrower as Engineer for contract implementation of the works that are the subject of this prequalification.
- 4.7 An Applicant that has been sanctioned by the Bank in accordance with the above ITA 3.1, including in accordance with the Bank's Guidelines on Preventing and Combating Corruption in Projects Financed by IBRD Loans and IDA Credits and Grants ("Anti-Corruption Guidelines"), shall be ineligible to be prequalified, to bid for, awarded a Bank-financed contract or benefit from a Bank-financed contract, financially or otherwise, during such period of time as the Bank shall have determined.
- 4.8 The list of debarred firms and individuals is available at the electronic address specified in the **PDS**.
- 4.9 Government-owned enterprises or institutions in the Employer's Country may participate only if they can establish that they (i) are legally and financially autonomous (ii) operate under commercial law, and (iii) are not dependent agencies of the Employer². To be eligible, a government-owned enterprise or institution shall establish to the Bank's satisfaction, through all relevant documents, including its Charter and other information the Bank may request, that it: (i) is a legal entity separate from the government (ii) does not currently receive substantial subsidies or budget support; (iii) operates like any commercial enterprise, and, inter alia, is not obliged to pass on its surplus to the government, can acquire rights and liabilities, borrow funds and be liable for repayment of its debts, and can be declared bankrupt; and (iv) is not bidding for a contract to be awarded by the department or agency of the government which under their applicable

² Other than Force Account units, as permitted under paragraph 3.9 of the Procurement Guidelines

laws or regulations is the reporting or supervisory authority of the enterprise or has the ability to exercise influence or control over the enterprise or institution.

- 4.10 An Applicant shall not be under suspension from bidding by the Employer as the result of the execution of a Bid-Securing Declaration.
- 4.11 An Applicant shall provide such evidence of eligibility satisfactory to the Employer, as the Employer shall reasonably request.

5. Eligibility

- 5.1 Firms and individuals may be ineligible if they are nationals of ineligible countries as indicated in Section V. The countries, persons or entities are ineligible if (a) as a matter of law or official regulations, the Borrower's country prohibits commercial relations with that country, provided that the Bank is satisfied that such exclusion does not preclude effective competition for the supply of goods or the contracting of works or services required; or (b) by an act of compliance with a decision of the United Nations Security Council taken under Chapter VII of the Charter of the United Nations, the Borrower's country prohibits any import of goods or contracting of works or services from that country, or any payments to any country, person, or entity in that country.

B. Contents of the Prequalification Document

6. Sections of Prequalification Document

- 6.1 This Prequalification Document consists of parts 1 and 2 which comprise all the sections indicated below, and which should be read in conjunction with any Addendum issued in accordance with ITA 8.

PART 1 Prequalification Procedures

- Section I. Instructions to Applicants (ITA)
- Section II. Prequalification Data Sheet (PDS)
- Section III. Qualification Criteria and Requirements
- Section IV. Application Forms
- Section V. Eligible Countries
- Section VI. Bank Policy – Corrupt and Fraudulent practices

PART 2 Works Requirements

- Section VII. Scope of Works

- 6.2 Unless obtained directly from the Employer, the Employer accepts no responsibility for the completeness of the document, responses to

requests for clarification, the minutes of the pre-Application meeting (if any), or Addenda to the Prequalification Document in accordance with ITA 8. In case of any discrepancies, documents issued directly by the Employer shall prevail.

- 6.3 The Applicant is expected to examine all instructions, forms, and terms in the Prequalification Document and to furnish with its Application all information or documentation as is required by the Prequalification Document.

**7. Clarification of
Prequalification
Document and
Pre-Application
Meeting**

- 7.1 A prospective Applicant requiring any clarification of the Prequalification Document shall contact the Employer in writing at the Employer's address indicated in the **PDS**. The Employer will respond in writing to any request for clarification provided that such request is received no later than fourteen (14) days prior to the deadline for submission of the applications. The Employer shall forward a copy of its response to all prospective Applicants who have obtained the Prequalification Document directly from the Employer, including a description of the inquiry but without identifying its source. If so indicated in the **PDS**, the Employer shall also promptly publish its response at the web page identified in the **PDS**. Should the Employer deem it necessary to amend the Prequalification Document as a result of a clarification, it shall do so following the procedure under ITA 8 and in accordance with the provisions of ITA 17.2.
- 7.2 If indicated in the **PDS**, the prospective Applicant's designated representative is invited at the Applicant's cost to attend a pre-Application meeting at the place, date and time mentioned in the **PDS**. During this pre-Application meeting, prospective Applicants may request clarification of the project requirement, the criteria for qualifications or any other aspects of the Prequalification Document.
- 7.3 Minutes of the pre-Application meeting, if applicable, including the text of the questions asked by Applicants, including those during the meeting (without identifying the source) and the responses given, together with any responses prepared after the meeting will be transmitted promptly to all prospective Applicants who have obtained the Prequalification Document. Any modification to the Prequalification Document that may become necessary as a result of the pre-Application meeting shall be made by the Employer exclusively through the use of an Addendum pursuant to ITA 8. Non-attendance at the pre-Application meeting will not be a cause for disqualification of an Applicant.

**8. Amendment of
Prequalification
Document**

- 8.1 At any time prior to the deadline for submission of Applications, the Employer may amend the Prequalification Document by issuing an Addendum.
- 8.2 Any Addendum issued shall be part of the Prequalification Document and shall be communicated in writing to all prospective Applicants who have obtained the Prequalification Document from the Employer. The Employer shall promptly publish the Addendum at the Employer's web page identified in the **PDS**.
- 8.3 To give prospective Applicants reasonable time to take an Addendum into account in preparing their Applications, the Employer may, at its discretion, extend the deadline for the submission of Applications in accordance with ITA 17.2.

C. Preparation of Applications

- 9. Cost of Applications**
- 9.1 The Applicant shall bear all costs associated with the preparation and submission of its Application. The Employer will in no case be responsible or liable for those costs, regardless of the conduct or outcome of the prequalification process.
- 10. Language of Application**
- 10.1 The Application as well as all correspondence and documents relating to the prequalification exchanged by the Applicant and the Employer, shall be written in the language specified in the **PDS**. Supporting documents and printed literature that are part of the Application may be in another language, provided they are accompanied by an accurate translation of the relevant passages in the language specified in the **PDS**, in which case, for purposes of interpretation of the Application, the translation shall govern.
- 11. Documents Comprising the Application**
- 11.1 The Application shall comprise the following:
- (a) Application Submission Form, in accordance with ITA 12.1;
 - (b) documentary evidence establishing the Applicant's eligibility, in accordance with ITA 13.1;
 - (c) documentary evidence establishing the Applicant's qualifications, in accordance with ITA 14; and
 - (d) any other document required as specified in the **PDS**.
- 11.2 The Applicant shall furnish information on commissions and gratuities, if any, paid or to be paid to agents or any other party relating to this Application
- 12. Application Submission Form**
- 12.1 The Applicant shall complete an Application Submission Form as provided in Section IV, Application Forms. This Form must be completed without any alteration to its format.
- 13. Documents Establishing the Eligibility of the Applicant**
- 13.1 To establish its eligibility in accordance with ITA 4, the Applicant shall complete the eligibility declarations in the Application Submission Form and Forms ELI (eligibility) 1.1 and 1.2, included in Section IV (Application Forms).
- 14. Documents Establishing the Qualifications of the Applicant**
- 14.1 To establish its qualifications to perform the contract(s) in accordance with Section III, Qualification Criteria and Requirements, the Applicant shall provide the information requested in the corresponding Information Sheets included in Section IV, Application Forms.

14.2 Wherever an Application Form requires an Applicant to state a monetary amount, Applicants should indicate the USD equivalent using the rate of exchange determined as follows:

For construction turnover or financial data required for each year - Exchange rate prevailing on the last day of the respective Financial year (in which the amounts for that year is to be converted) was originally established.

Value of single contract - Exchange rate prevailing on the date of the contract.

Exchange rates shall be taken from the publicly available source identified in the **PDS**. Any error in determining the exchange rates in the Application may be corrected by the Employer.

15. Signing of the Application and Number of Copies

15.1 The Applicant shall prepare one original of the documents comprising the Application as described in ITA 11 and clearly mark it "ORIGINAL". The original of the Application shall be typed or written in indelible ink and shall be signed by a person duly authorized to sign on behalf of the Applicant. In case the Applicant is a JV, the Application shall be signed by an authorized representative of the JV on behalf of the JV and so as to be legally binding on all the members as evidenced by a power of attorney signed by their legally authorized signatories.

15.2 The Applicant shall submit copies of the signed original Application, in the number specified in the **PDS**, and clearly mark them "COPY". In the event of any discrepancy between the original and the copies, the original shall prevail.

D. Submission of Applications

16. Sealing and Identification of Applications

16.1 The Applicant shall enclose the original and the copies of the Application in a sealed envelope that shall:

- (a) bear the name and address of the Applicant;
- (b) be addressed to the Employer, in accordance with ITA 17.1; and
- (c) bear the specific identification of this prequalification process indicated in the PDS 1.1.

16.2 The Employer will accept no responsibility for not processing any envelope that was not identified as required in ITA 16.1 above.

17. Deadline for Submission of

17.1 Applicants may either submit their Applications by mail or by hand. Applications shall be received by the Employer at the address and no later than the deadline indicated in the **PDS**. When so specified

Applications

in the **PDS**, Applicants have the option of submitting their Applications electronically, in accordance with electronic application submission procedures specified in the **PDS**.

17.2 The Employer may, at its discretion, extend the deadline for the submission of Applications by amending the Prequalification Document in accordance with ITA 8, in which case all rights and obligations of the Employer and the Applicants subject to the previous deadline shall thereafter be subject to the deadline as extended.

18. Late Applications

18.1 The Employer reserves the right to accept applications received after the deadline for submission of applications, unless otherwise specified in the **PDS**.

19. Opening of Applications

19.1 The Employer shall open all Applications at the date, time and place specified in the **PDS**. Late Applications shall be treated in accordance with ITA 18.1.

19.2 Applications submitted electronically (if permitted pursuant to ITA 17.1) shall be opened in accordance with the procedures specified in the **PDS**.

19.3 The Employer shall prepare a record of the opening of Applications to include, as a minimum, the name of the Applicants. A copy of the record shall be distributed to all Applicants.

E. Procedures for Evaluation of Applications

20. Confidentiality

20.1 Information relating to the Applications, their evaluation and result shall not be disclosed to Applicants or any other persons not officially concerned with the prequalification process until the notification of prequalification results is made to all Applicants in accordance with ITA 28.

20.2 From the deadline for submission of Applications to the time of notification of the results of the prequalification in accordance with ITA 28, any Applicant that wishes to contact the Employer on any matter related to the prequalification process (except as specified in 20.1 above), may do so only in writing.

21. Clarification of Applications

21.1 To assist in the evaluation of Applications, the Employer may, at its discretion, ask an Applicant for a clarification (including missing documents) of its Application, to be submitted within a stated reasonable period of time. Any request for clarification from the

Employer and all clarifications from the Applicant shall be in writing.

21.2 If an Applicant does not provide clarifications and/or documents requested by the date and time set in the Employer's request for clarification, its Application shall be evaluated based on the information and documents available at the time of evaluation of the Application.

**22. Responsive-
ness of
Applications**

22.1 The Employer may reject any Application which is not responsive to the requirements of the Prequalification Document. In case the information furnished by the Applicant is incomplete or otherwise requires clarification as per ITA 21.1, and the Applicant fails to provide satisfactory clarification and/or missing information, it may result in disqualification of the Applicant.

**23. Domestic
Bidder Price
Preference**

23.1 Unless otherwise specified in the **PDS**, a margin of preference for domestic bidders³ shall not apply in the bidding process resulting from this prequalification.

24. Sub-contractors

24.1 Unless otherwise stated in the **PDS**, the Employer does not intend to execute any specific elements of the Works by sub-contractors selected in advance by the Employer.

24.2 The Employer may decide to permit subcontracting for certain specialized works as indicated in Section III 4.2, Experience. The Employer may do so at its own initiative or at the request of the Applicants during the prequalification process (if justified). When subcontracting is permitted by the Employer, the specialized sub-contractors experience shall be considered for evaluation. Section III describes the qualification criteria for sub-contractors.

24.3 Applicants may propose subcontracting to the percentage of the total value of the contract or the volume of works mentioned in the **PDS** and as further described in ITA 25.2.

F. Evaluation of Applications and Prequalification of Applicants

25. Evaluation of

25.1 The Employer shall use the factors, methods, criteria, and

³An individual firm is considered a domestic bidder for purposes of the margin of preference if it is registered in the country of the Employer, has more than 50 percent ownership by nationals of the country of the Employer, and if it does not subcontract more than 10 percent of the contract price, excluding provisional sums, to foreign contractors. JVs are considered as domestic bidders and eligible for domestic preference only if the individual member firms are registered in the country of the Employer, have more than 50 percent ownership by nationals of the country of the Employer, and the JV shall be registered in the country of the Borrower. The JV shall not subcontract more than 10 percent of the contract price, excluding provisional sums, to foreign firms. JVs between foreign and national firms will not be eligible for domestic preference.

Applications

requirements defined in Section III, Qualification Criteria and Requirements, to evaluate the qualifications of the Applicants, and no other methods, criteria, or requirements shall be used. The Employer reserves the right to waive minor deviations from the qualification criteria if they do not materially affect the technical capability and financial resources of an Applicant to perform the contract.

25.2 Applicants planning to subcontract more than 10% of total volume of work shall specify, in the Application Submission Form, the activity (ies) or parts of the works to be subcontracted along with complete details of the sub-contractors and their qualification and experience. The sub-contractors proposed shall be fully qualified for their work proposed, and meet the specified criteria in Section III, failing which such sub-contractors will not be permitted to participate. The qualification and experience of sub-contractors proposed by the Applicant under ITA 24.3 will not be considered for evaluation of the Applicant. The Applicant on its own (without taking into account the qualification and experience of the sub-contractor) should meet the prequalification criteria.

25.3 In case of multiple contracts, Applicants should indicate in their Applications the individual contract or combination of contracts in which they are interested. The Employer shall prequalify each Applicant for the maximum combination of contracts for which the Applicant has thereby indicated its interest and for which the Applicant meets the appropriate aggregate requirements. The Qualification Criteria and Requirements are mentioned in Section III. However, with respect to the specific experience under item 4.2 (a) of Section III, the Employer will select any one or more of the options as identified below:

N is the minimum number of contracts

V is the minimum value of a single contract

(a) Prequalification for one Contract:

Option 1: (i) N contracts, each of minimum value V;

Or

Option 2: (i) N contracts, each of minimum value V, Or

(ii) Less than or equal to N contracts, each of minimum value V, but with total value of all contracts equal or more than $N \times V$;

(b) Prequalification for multiple Contracts

Option 1: (i) Minimum requirements for combined contract(s) shall be the aggregate requirements for each contract for which the applicant has applied for as follows, and N1,N2,N3, etc. shall be different contracts:

Lot 1: N1 contracts, each of minimum value V1;

Lot 2: N2 contracts, each of minimum value V2;

Lot 3: N3 contracts, each of minimum value V3;

----etc.

Or

Option 2: (i) Minimum requirements for combined contract(s) shall be the aggregate requirements for each contract for which the applicant has applied for as follows, and N1,N2,N3, etc. shall be different contracts:

Lot 1: N1 contracts, each of minimum value V1;

Lot 2: N2 contracts, each of minimum value V2;

Lot 3: N3 contracts, each of minimum value V3;

----etc, Or

(ii) Lot 1: N1 contracts, each of minimum value V1;
or number of contracts less than or equal to N1,
each of minimum value V1, but with total value of
all contracts equal or more than $N1 \times V1$

Lot 2: N2 contracts, each of minimum value V2;
or number of contracts less than or equal to N2,
each of minimum value V2, but with total value of
all contracts equal or more than $N2 \times V2$

Lot 3: N3 contracts, each of minimum value V3;
or number of contracts less than or equal to N3,
each of minimum value V3, but with total value of
all contracts equal or more than $N3 \times V3$

----etc.

Or

Option 3: (i) Minimum requirements for combined contract(s) shall be the aggregate requirements for each contract for which the applicant has applied for as

follows, and N1,N2,N3, etc. shall be different contracts:

Lot 1: N1 contracts, each of minimum value V1;

Lot 2: N2 contracts, each of minimum value V2;

Lot 3: N3 contracts, each of minimum value V3;

----etc, Or

- (ii) Lot 1: N1 contracts, each of minimum value V1;
or number of contracts less than or equal to N1,
each of minimum value V1, but with total value of
all contracts equal or more than $N1 \times V1$

Lot 2: N2 contracts, each of minimum value V2;
or number of contracts less than or equal to N2,
each of minimum value V2, but with total value of
all contracts equal or more than $N2 \times V2$

Lot 3: N3 contracts, each of minimum value V3;
or number of contracts less than or equal to N3,
each of minimum value V3, but with total value of
all contracts equal or more than $N3 \times V3$

----etc, Or

- (iii) Subject to compliance as per (ii) above with
respect to minimum value of single contract for
each lot, total number of contracts is equal or
less than $N1 + N2 + N3$ ---but the total value of
all such contracts is equal or more than $N1 \times V1$
+ $N2 \times V2$ + $N3 \times V3$ +---.

25.4 Only the qualifications of the Applicant shall be considered. In particular, the qualifications of a parent or other affiliated company that is not party to the Applicant under a JV in accordance with ITA 4.2 (or participating as a sub-contractor as per ITA 25.2) shall not be considered.

**26. Employer's
Right to Accept
or Reject
Applications**

26.1 The Employer reserves the right to accept or reject any Application, and to annul the prequalification process and reject all Applications at any time, without thereby incurring any liability to the Applicants.

**27. Prequalification
of Applicants**

27.1 All Applicants who's Applications substantially meet or exceed the specified qualification requirements will be prequalified by the Employer.

- 27.2 An Applicant may be “conditionally prequalified,” that is, qualified subject to the Applicant submitting or correcting certain specified nonmaterial documents or deficiencies to the satisfaction of the Employer.
- 27.3 Applicants that are conditionally prequalified will be so informed along with the statement of the condition(s) which must be met to the satisfaction of the Employer before or at the time of submitting their bids.
- 28. Notification of Prequalification**
- 28.1 The Employer shall notify all Applicants in writing of the names of those Applicants who have been prequalified or conditionally prequalified. In addition, those Applicants who have been disqualified will be informed separately.
- 28.2 Applicants that have not been prequalified may write to the Employer to request, in writing, the grounds on which they were disqualified.
- 29. Invitation for Bids**
- 29.1 Promptly after the notification of the results of the prequalification, the Employer shall invite bids from all the Applicants that have been prequalified or conditionally prequalified.
- 29.2 Bidders may be required to provide a Bid Security or a Bid-Securing Declaration acceptable to the Employer in the form and an amount to be specified in the Bidding Documents, and the successful Bidder shall be required to provide a Performance Security as specified in the Bidding Documents.
- 30. Changes in Qualifications of Applicants**
- 30.1 Any change in the structure or formation of an Applicant after being prequalified in accordance with ITA 27 and invited to bid (including, in the case of a JV, any change in the structure or formation of any member thereto) shall be subject to the written approval of the Employer prior to the deadline for submission of bids. Such approval shall be denied if (i) a prequalified applicant proposes to associate with a disqualified applicant or in case of a disqualified joint venture, any of its members; (ii) as a consequence of the change, the Applicant no longer substantially meets the qualification criteria set forth in Section III, Qualification Criteria and Requirements; or (iii) in the opinion of the Employer, the change may result in a substantial reduction in competition. Any such change should be submitted to the Employer not later than fourteen (14) days after the date of the Invitation for Bids.

Section II. Prequalification Data Sheet

A. General

ITA 1.1

The identification of the Invitation for Prequalification is: ICB No.: HQ/EN/EC/D-B/ Sahnewal-Pilkhani and Dadri-Khurja Sections

The Employer for the Project is:

Dedicated Freight Corridor Corporation of India Limited

(A Government of India Enterprise)

Project Officer: Mr Ajay Kumar, GGM/Procurement/EC

Applications are invited from interested Applicants for Prequalification of Bidders for Design and Construction of (i) approximately 175 Route Km of Single Line Railway between Sahnewal and Pilkhani Stations and (ii) approximately 46 Route Km of Double Line Railway between Dadri and Khurja Stations, of Eastern Dedicated Freight Corridor split in to two Contract Packages, on Design-Build Lump Sum Basis.

The names and identifications of each of the two Contract Packages are as follows:

Civil, Structures and Track Works Contract Package 301:

Design and Construction of Civil, Structures and Track Works for Single Line Railway, involving Formation in Embankments/Cuttings, Ballast on Formation, Track Works, Bridges, Structures, Buildings, Yards, Integration with Indian Railways' existing Railway System and Testing & Commissioning, on Design-Build Lump Sum Basis, between Sahnewal Station and Pilkhani Station (Approximately 175 Route Km of Single Line) of Eastern Dedicated Freight Corridor

Civil, Structures and Track Works Contract Package 302:

Design and Construction of Civil, Structures and Track Works for Double Line Railway, involving Formation in Embankments/Cuttings, Ballast on Formation, Track Works, Bridges, Structures, Buildings, Yards, Integration with Indian

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| | <p>Railways' existing Railway System and Testing & Commissioning, on Design-Build Lump Sum Basis, between Dadri Station and Khurja Station (Approximately 46 Route Km of Double Line) of Eastern Dedicated Freight Corridor</p> <p>The Applicants can seek prequalification for either of the two or both Contract Packages.</p> <p>The Employer will evaluate the Applications received and Pre-qualify the Applicants for either of the two or both contract packages as per the specific requirements provided in the Section III- Qualification Criteria & Requirement for either of contracts or both contracts.</p> <p>ICB name and number is:</p> <p>Design and Construction of Civil, Structures and Track Works for Railway, involving Formation in Embankments/Cuttings, Ballast on Formation, Track Works, Bridges, Structures, Buildings, Yards, Integration with Indian Railways' existing Railway System and Testing & Commissioning on Design-Build Lump Sum Basis for Sahnewal-Pilkhani (approximate 175 route km of single line) and Dadri-Khurja (approximate 46 route km of double line) Sections of Eastern Dedicated Freight Corridor</p> <p>ICB No.: HQ/EN/EC/D-B/ Sahnewal-Pilkhani and Dadri-Khurja Sections</p> |
| ITA 2.1 | <p>The name of the Borrower is: Dedicated Freight Corridor Corporation of India Ltd</p> <p>The name of the Project is : Eastern Dedicated Freight Corridor Project-III (EDFC-3)</p> |
| ITA 4.2 | Maximum number of members in the JV shall be limited to 3 (three). |
| ITA 4.8 | <p>The electronic address of firms and individuals debarred by the Bank is: http://www.worldbank.org/debarr.</p> |
| B. Contents of the Prequalification Document | |
| ITA 7.1 | <p>All communication between the Employer and the Applicant shall be in writing.</p> <p>For the purposes of seeking clarification, the Employer's address is:</p> <p>Dedicated Freight Corridor Corporation of India Limited</p> <p>Attention: Mr. Ajay Kumar,</p> <p>Designation: GGM/Procurement/EC</p> |

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| | <p>Address: Room No. 501, 5th Floor, Pragati Maidan Metro Station Building Complex, New Delhi, PIN Code: 110001, India</p> <p>Telephone: +91-11-23454720, Facsimile number: +91-11- 23454701</p> <p>Electronic mail address: ajaykumar@dfcc.co.in</p> |
| ITA 7.1 & 8.2 | The official web site of the Employer is www.dfccil.org |
| ITA 7.2 | <p>Pre-submission Conference: A pre-submission conference will be held to clarify the issues related to this Pre-qualification document on the date, time and venue of the Pre-submission conference indicated below.</p> <p>Date: 28.04.2014 Time: 15:00 Hrs</p> <p>Venue: Conference Room, Dedicated Freight Corridor Corporation of India Limited, 4th Floor, Pragati Maidan Metro Station Building Complex, New Delhi - 110001, India.</p> <p>All interested Applicants may attend the Pre-submission Conference.</p> <p>Minutes of pre-submission conference will be prepared by the Employer and circulated to all the Applicants who have purchased the pre-qualification document and will also be posted on the Employer's website.</p> <p>Nonattendance at the pre-submission conference will not be a basis for disqualification of the Applicant.</p> |
| C. Preparation of Applications | |
| ITA 10.1 | <p>This Prequalification document has been issued in the "English" language.</p> <p>All correspondence exchange shall be in English.</p> <p>The Application as well as all correspondence shall be submitted in English language.</p> <p>Language for translation of supporting documents and printed literature is English.</p> |
| ITA 14.1 | The applicant shall submit certificates from the clients for each contract included in Section IV: Form EXP – 4.1, 4.2 (a), 4.2 (b), 4.3 (a) and 4.3 (b). These certificates should be self-attested by the applicant. |
| ITA 14.2 | <p>For the purpose of conversion of foreign currency / Indian rupees (INR) to US\$, the Applicants shall use the Reference Rates of Foreign Currency published by Reserve Bank of India (www.rbi.org.in)</p> <p>In case a particular currency rate is not published by Reserve Bank of India, then the selling rate of such currency shall be taken from the following internet</p> |

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| | <p>web site:</p> <p>http://www.oanda.com</p> <p>In case the exchange rates are not available on the above website also, then mid-market rate of such currency shall be taken from the alternate web site http://www.xe.com</p> |
| ITA 15.2 | <p>In addition to the original, the number of copies to be submitted with the application is : 3 (Three)</p> <p>One copy in digital - Read Only Diskette/CD shall also be submitted.</p> <p>The document submission shall be in spiral or hard bound form only. The Applicants are advised not to submit loose sheets in plastic folders. The applicants are further advised to machine number all the pages and prepare a table of contents in the beginning of each volume of documents referring the page numbers of the indexed items.</p> |
| D. Submission of Applications | |
| ITA 17.1 | <p>Applicants shall not have the option of submitting their applications electronically.</p> <p>Applications submitted electronically will not be accepted and shall be rejected by the Employer.</p> <p>For application submission purposes only, the Employer's address is the same as stated in ITA 7.1 above.</p> <p>The deadline for application submission is:</p> <p>Date: 16.05.2014 Time: 15:00 hrs</p> |
| ITA 18.1 | <p>Applications received late shall not be accepted and will be returned unopened to the Applicants.</p> |
| ITA 19.1 | <p>The applications shall be opened on date, time and venue stated below:</p> <p>Date: 16.05.2014 Time: 15:30 hrs</p> <p>Venue: Conference Room, Dedicated Freight Corridor Corporation of India Limited, 4th Floor, Pragati Maidan Metro Station Building Complex, New Delhi -110001, India</p> |
| E. Procedures for Evaluation of Applications | |
| ITA 23.1 | <p>A margin of preference shall not apply for eligible domestic bidders.</p> |

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| ITA 24.1 | At this time the Employer does not intend to execute certain specific parts of the Works by sub-contractors selected in advance. |
| ITA 24.2 | Consent letter from the participating sub-contractor will be required as per details in the form ELI 1.3. |
| ITA 24.3 | The percentage of work permitted to be subcontracted in addition to the activities highlighted in paragraph 4.2 (a), 4.2 (b), 4.3 (a) and 4.3 (b) of Section III Qualification Criteria and Requirements will be detailed in the Bid documents. |
| ITA 25.1 | The Financial Situation and Experience of Associates, Parent Companies or Sister Companies shall not be considered unless they are part of JV. |
| ITA 29.1 | <p>Applicants are advised that the following description of the Two-Stage Bidding Process is only a summary for information. Prequalified bidders shall be guided by the detailed provisions of the bidding documents, after they have been made available to them.</p> <p>First Stage Bid: The bid process will involve asking the Pre-qualified Applicants to submit their First Stage Technical proposals in response to the performance / technical specifications for the project included in the bid document. First Stage Technical proposals are un-priced proposals and shall contain no prices or price schedules or other reference to rates and prices for completing the works. The Employer may ask the Pre-qualified Bidders to update the data submitted at the time of pre-qualification to assess their meeting the pre-qualification criteria during the bidding stage.</p> <p>Evaluation of First Stage Bids: The Employer will examine the first stage technical proposals to determine whether they are complete, whether the documents have been properly signed and whether the bids are generally in order and respond adequately to the performance / technical specifications. Any bids found to be non- responsive or not meeting the minimum levels of the performance or other criteria specified in the bidding document will be rejected by the Employer and not included for further consideration. The Employer will then carry out a detailed evaluation of the first stage technical proposals in order to determine whether the technical aspects are in compliance with the Bidding Document.</p> <p>Clarification Meetings: The Employer may conduct clarification meetings with each or any Bidder to clarify any aspects of its First Stage technical proposal that require explanation and to review any reservations to the commercial or</p> |

contractual provisions of the bidding documents. The Employer may bring to the attention of the Bidder any amendments or changes which the Employer may require to be made to the First Stage Technical Proposal; however the Employer may not require amendments or changes at variance from the Employers' requirements unless the Employer intends to amend the Bidding Document in accordance with the relevant provision of the Bid Documents.

The Employer will issue a Memorandum titled "Changes Required Pursuant to First Stage Evaluation," documenting the clarifications made in writing and/or in a meeting, if any, and including an Annex listing all decisions, and required amendments or changes resulting from the clarification of the First Stage technical proposal. The Memorandum will be communicated to the Bidder as part of the invitation to submit the Second Stage bid.

Second Stage Bid: The Employer will invite the Bidders to submit a final updated Technical and a Commercial Second Stage bid based on its First Stage Technical Proposal taking into account the Bidding Document, if and as amended, and any other modifications as recorded in the Annex to the Memorandum titled "Changes Required Pursuant to First Stage Evaluation". Bidders will be allowed to submit only one Second Stage Bid.

Section III. Qualification Criteria and Requirements

This Section contains all the methods, criteria, and requirements that the Employer shall use to evaluate Applications. The information to be provided in relation to each requirement and the definitions of the corresponding terms are included in the respective Application Forms.

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| Eligibility and Qualification Criteria | | | Compliance Requirements | | | | Documentation |
|--|---|--|-------------------------|--------------------------------------|-----------------------|------------|---|
| No. | Subject | Requirement | Single Entity | Joint Venture (existing or intended) | | | Submission Requirements |
| | | | | All Parties Combined | Each Member | One Member | |
| 1. Eligibility | | | | | | | |
| 1.1 | Nationality | Nationality in accordance with ITA 4.5 | Must meet requirement | Must meet requirement | Must meet requirement | N/A | Forms ELI – 1.1 and 1.2, with attachments |
| 1.2 | Conflict of Interest | No conflicts of interest in accordance with ITA 4.6 | Must meet requirement | Must meet requirement | Must meet requirement | N/A | Application Submission Form |
| 1.3 | Bank Eligibility | Not having been declared ineligible by the Bank, as described in ITA 4.7 and 5.1 | Must meet requirement | Must meet requirement | Must meet requirement | N/A | Application Submission Form |
| 1.4 | Government Owned Entity of the Borrower country | Meet conditions of ITA 4.9 | Must meet requirement | Must meet requirement | Must meet requirement | N/A | Forms ELI – 1.1 and 1.2, with attachments |
| 1.5 | United Nations resolution or Borrower’s country law | Not having been excluded as a result of prohibition in the Borrower’s country laws or official regulations against | Must meet requirement | Must meet requirement | Must meet requirement | N/A | Forms ELI – 1.1 and 1.2, with attachments |

| Eligibility and Qualification Criteria | | | Compliance Requirements | | | Documentation | |
|---|--|---|------------------------------------|--------------------------------------|------------------------------------|---------------|-----------------------------|
| No. | Subject | Requirement | Single Entity | Joint Venture (existing or intended) | | | Submission Requirements |
| | | | | All Parties Combined | Each Member | One Member | |
| | | commercial relations with the Applicant's country, or by an act of compliance with UN Security Council resolution, both in accordance with ITA 5.1 and Section V. | | | | | |
| 2. Historical Contract Non-Performance | | | | | | | |
| 2.1 | History of Non-Performing Contracts | Non-performance of a contract ⁴ did not occur as a result of contractor's default since 1 st January 2011. | Must meet requirement ⁵ | Must meet requirements | Must meet requirement ⁵ | N/A | Form CON-2 |
| 2.2 | Suspension Based on Execution of Bid Securing Declaration by the Employer | Not under suspension based on execution of a Bid Securing Declaration pursuant to ITA 4.10. | Must meet requirement | Must meet requirement | Must meet requirement | N/A | Application Submission Form |

⁴ Nonperformance, as decided by the Employer, shall include all contracts where (a) non performance was not challenged by the contractor, including through referral to the dispute resolution mechanism under the respective contract, and (b) contracts that were so challenged but fully settled against the contractor. Non performance shall not include contracts where Employers decision was overruled by the dispute resolution mechanism. Non performance must be based on all information on fully settled disputes or litigation, i.e. dispute or litigation that has been resolved in accordance with the dispute resolution mechanism under the respective contract and where all appeal instances available to the applicant have been exhausted.

⁵ This requirement also applies to contracts executed by the Applicant as JV member.

| Eligibility and Qualification Criteria | | | Compliance Requirements | | | | Documentation |
|---|-------------------------------|---|-------------------------|--------------------------------------|-----------------------|------------|---|
| No. | Subject | Requirement | Single Entity | Joint Venture (existing or intended) | | | Submission Requirements |
| | | | | All Parties Combined | Each Member | One Member | |
| 2.3 | Pending Litigation | Applicant's financial position and prospective long term profitability still sound according to criteria established in 3.1 below and assuming that all pending litigation will be resolved against the Applicant | Must meet requirement | N/A | Must meet requirement | N/A | Form CON – 2 |
| 2.4 | Litigation History | No consistent history of court/arbitral award decisions against the Applicant ⁶ since 1 st January 2009. | Must meet requirement | Must meet requirement | Must meet requirement | N/A | Form CON – 2 |
| 3. Financial Situation and Performance | | | | | | | |
| 3.1 | Financial Capabilities | (i) The Applicant shall demonstrate that it has access to, or has available, liquid assets, unencumbered real assets, lines of credit, and | Must meet requirement | Must meet requirement | N/A | N/A | Form FIN – 3.1, with the following Forms along with necessary |

⁶ The Applicant shall provide accurate information on the related Application Form about any litigation or arbitration resulting from contracts completed or ongoing under its execution over the last five years. A consistent history of awards against the Applicant or any member of a joint venture may result in failure of the application.

| Eligibility and Qualification Criteria | | | Compliance Requirements | | | Documentation | |
|--|---------|--|-------------------------|--------------------------------------|-------------|---------------|---|
| No. | Subject | Requirement | Single Entity | Joint Venture (existing or intended) | | | Submission Requirements |
| | | | | All Parties Combined | Each Member | One Member | |
| | | <p>other financial means (independent of any contractual advance payment) sufficient to meet the construction cash flow requirements estimated below for the subject contract(s) net of the Applicants other commitments</p> <p><u>For Contract Package No. 301:</u></p> <p>US \$ 24 million (US \$ Twenty four million) to be eligible for Contract Package No. 301</p> <p><u>For Contract Package No. 302:</u></p> <p>US \$ 9 million (US \$ Nine million) to be eligible for Contract Package No. 302</p> <p><u>For Both Contract Packages (No. 301 &No. 302):</u></p> | | | | | <p>attachments :</p> <ul style="list-style-type: none">• Form OC• Form CCC |

| Eligibility and Qualification Criteria | | | Compliance Requirements | | | | Documentation |
|--|---------|---|-------------------------|--------------------------------------|-----------------------|------------|-------------------------|
| No. | Subject | Requirement | Single Entity | Joint Venture (existing or intended) | | | Submission Requirements |
| | | | | All Parties Combined | Each Member | One Member | |
| | | US \$ 33 million (US \$ Thirty three million) to be eligible for both Contract Package Nos. 301 & 302 | | | | | |
| | | ii) The Applicant shall also demonstrate, to the satisfaction of the Employer, that it has adequate sources of finance to meet the cash flow requirements on works currently in progress and for future contract commitments. | Must meet requirement | Must meet requirement | N/A | N/A | |
| | | (iii) The audited balance sheets, profit and loss account and cash flow statement or, if not required by the laws of the Applicant's country, other financial statements acceptable to the Employer, for the last 5 (five) financial years shall be | Must meet requirement | N/A | Must meet requirement | N/A | |

| Eligibility and Qualification Criteria | | | Compliance Requirements | | | Documentation | |
|--|--------------------------------------|---|-------------------------|--------------------------------------|--|--|-------------------------|
| No. | Subject | Requirement | Single Entity | Joint Venture (existing or intended) | | | Submission Requirements |
| | | | | All Parties Combined | Each Member | One Member | |
| | | submitted and must demonstrate the current soundness of the Applicant's financial position. As a minimum requirement, an applicant must have positive net worth as on the last day of latest financial year. | | | | | |
| 3.2 | Average Annual Construction Turnover | Minimum average annual construction turnover calculated as total certified payments received for contracts in progress and/or completed within the last five (5) financial years, divided by five (5). <u>For Contract Package No. 301:</u> US \$ 110million (US \$ One hundred ten million) to be eligible for Contract Package 301. | Must meet requirement | Must meet requirement | Must meet 25%, (twenty five per cent) of the requirement | Must meet 50%, (fifty per cent) of the requirement | Form FIN – 3.2 |

| Eligibility and Qualification Criteria | | | Compliance Requirements | | | | Documentation |
|--|---------------------------------|--|-------------------------|--------------------------------------|-----------------------|------------|-------------------------|
| No. | Subject | Requirement | Single Entity | Joint Venture (existing or intended) | | | Submission Requirements |
| | | | | All Parties Combined | Each Member | One Member | |
| | | <p><u>For Contract Package No. 302:</u></p> <p>US\$ 55 million (US \$ Fifty Five million) to be eligible for Contract Package 302</p> <p><u>For Both Contract Packages (No. 301 &No. 302):</u></p> <p>US\$ 165 million (US \$ One Hundred Sixty Five million) to be eligible for both Contract Packages (301 &302)</p> | | | | | |
| 4. Experience | | | | | | | |
| 4.1 (a) | General Construction Experience | Experience under construction contracts in the role of prime contractor, JV member, sub-contractor, or management contractor for at least the last five (5) years, starting 1 st January 2009 | Must meet requirement | N/A | Must meet requirement | N/A | Form EXP – 4.1 |

| Eligibility and Qualification Criteria | | | Compliance Requirements | | | Documentation | |
|--|---|---|-------------------------|--------------------------------------|-------------|---------------|-------------------------|
| No. | Subject | Requirement | Single Entity | Joint Venture (existing or intended) | | | Submission Requirements |
| | | | | All Parties Combined | Each Member | One Member | |
| 4.2 (a) | Specific Construction & Contract Management Experience | A minimum number of similar ⁷ contracts specified below that have been satisfactorily and substantially ⁸ completed as a prime contractor, joint venture member ⁹ , management contractor or sub-contractor ⁹ between 1st January 2009 and application submission deadline: <u>For Contract Package No. 301:</u> At least 1 (one) contract of minimum value of US\$ 215million (US\$ Two | Must meet requirement | Must meet requirement ¹⁰ | N/A | N/A | Form EXP 4.2(a) |

⁷ The similarity shall be based on the physical size, complexity, methods/technology and/or other characteristics described in Section VII, Scope of Works. Summation of number of small value contracts (less than the value specified under requirement) to meet the overall requirement will not be accepted.

⁸ Substantial completion shall be based on 80% or more works completed under the contract.

⁹ For contracts under which the Applicant participated as a joint venture member or sub-contractor, only the Applicant's share, by value, shall be considered to meet this requirement.

¹⁰ In the case of JV, the value of contracts completed by its members shall not be aggregated to determine whether the requirement of the minimum value of a single contract has been met. Instead, each contract performed by each member shall satisfy the minimum value of a single contract as required for single entity. In determining whether the JV meets the requirement of total number of contracts, only the number of contracts completed by all members each of value equal or more than the minimum value required shall be aggregated.

| Eligibility and Qualification Criteria | | | Compliance Requirements | | | Documentation | |
|--|---------|---|-------------------------|--------------------------------------|-------------|---------------|-------------------------|
| No. | Subject | Requirement | Single Entity | Joint Venture (existing or intended) | | | Submission Requirements |
| | | | | All Parties Combined | Each Member | One Member | |
| | | <p>hundred</p> <p>Fifteen million);</p> <p><u>For Contract Package No. 302:</u></p> <p>At least 1 (one) contract of minimum value of US\$ 65 million (US\$ Sixty Five million);</p> <p><u>For Both Contract Packages (301 & 302):</u></p> <p>One Contract whose value is equal to or more than US\$ 280 million (US\$ Two Hundred Eighty Million).</p> <p>Note: The works pertaining to Railway, Highway, Sea/Air Port, Dams/Hydroelectric Projects and Irrigation Canal Projects shall only be considered for each</p> | | | | | |

| Eligibility and Qualification Criteria | | | | Compliance Requirements | | | Documentation |
|--|---------|-------------------|---------------|--------------------------------------|-------------|------------|-------------------------|
| No. | Subject | Requirement | Single Entity | Joint Venture (existing or intended) | | | Submission Requirements |
| | | | | All Parties Combined | Each Member | One Member | |
| | | Contract Package. | | | | | |

| Eligibility and Qualification Criteria | | | Compliance Requirements | | | | Documentation |
|--|---------|--|-------------------------|--------------------------------------|-------------|--|-------------------------|
| No. | Subject | Requirement | Single Entity | Joint Venture (existing or intended) | | | Submission Requirements |
| | | | | All Parties Combined | Each Member | One Member | |
| 4.2 (b) | | For the above and any other contracts completed and under implementation as prime contractor, joint venture member, management contractor or sub-contractor ⁹ between 1st January 2009 and application submission deadline, a minimum construction experience in the following key activities successfully completed ¹¹ : The work pertaining to Railway, Highway, Sea/Airport, Dams/Hydroelectric Projects and Irrigation Canal Projects shall only be considered for each Key activity. | Must meet requirements | Must meet requirements | N/A | Must meet the following requirements for the key activities listed below ¹² | Form EXP – 4.2 (b) |
| | | (i) Earthwork in formation/cutting/blanket | Must meet requirements | Must meet requirements | N/A | Must meet 60% requirements | Form EXP – 4.2 (b) |

¹¹ Volume, number or rate of production of any key activity can be demonstrated in one or more contracts combined if executed during same time period. The rate of production shall be the annual production rate for the key construction activity (or activities). For the rate of production, either the average during the entire period or in any one or more years during the period should be specified.

¹² The minimum experience requirement for multiple contracts will be the sum of the minimum requirements for respective individual contracts.

| Eligibility and Qualification Criteria | | | Compliance Requirements | | | Documentation | |
|--|---------|---|-------------------------|--------------------------------------|-------------|---------------|-------------------------|
| No. | Subject | Requirement | Single Entity | Joint Venture (existing or intended) | | | Submission Requirements |
| | | | | All Parties Combined | Each Member | One Member | |
| | | <p>ing</p> <p><u>For Contract Package No. 301:</u></p> <p>3000 thousand cubic meters in any one year (12 continuous months) during the period stated in 4.2 (b).</p> <p><u>For Contract Package No. 302:</u></p> <p>1000 thousand Cubic Meters in one year (12 continuous months) during the period stated in 4.2 (b).</p> <p><u>For Both Contract Packages (301 & 302):</u></p> <p>4000 thousand Cubic Meters in any one year (12 continuous months) during the period stated in 4.2 (b).</p> <p>Note: For a single entity</p> | | | | | |

| Eligibility and Qualification Criteria | | | Compliance Requirements | | | Documentation | |
|--|---------|---|-------------------------|--------------------------------------|-------------|----------------------------|-------------------------|
| No. | Subject | Requirement | Single Entity | Joint Venture (existing or intended) | | | Submission Requirements |
| | | | | All Parties Combined | Each Member | One Member | |
| | | contractor, the experience should be for any one year (12 continuous months) but for the JV Applicant, at least 60% requirement should be met by one member in any one year (12 continuous months)and the balance could be met by another member(s) in any one year (12 continuous months) within the allowed period. | | | | | |
| | | (ii) Concreting in Bridges and other Structures: <u>For Contract Package No. 301:</u> 50000 cubic meters in any one year (12 continuous months) during the period stated in 4.2 (b). | Must meet requirements | Must meet requirements | N/A | Must meet 60% requirements | Form EXP – 4.2 (b) |

| Eligibility and Qualification Criteria | | | Compliance Requirements | | | Documentation | |
|--|---------|---|-------------------------|--------------------------------------|-------------|---------------|-------------------------|
| No. | Subject | Requirement | Single Entity | Joint Venture (existing or intended) | | | Submission Requirements |
| | | | | All Parties Combined | Each Member | One Member | |
| | | <p>For Contract Package No. 302:</p> <p>7000 cubic meters in any one year (12 continuous months) during the period stated in 4.2 (b).</p> <p>For Both Contract Packages (301 & 302):</p> <p>57000 cubic meters in any one year (12continuous months) during the period stated in 4.2 (b).</p> <p>Note: For a single entity contractor, the experience should be for any one year (12continuous months) but for the JV Applicant, at least 60% requirement should be met by one member in any one year (12 continuous months)</p> | | | | | |

| Eligibility and Qualification Criteria | | | Compliance Requirements | | | | Documentation |
|--|---------|--|---|---|-------------|---|-------------------------|
| No. | Subject | Requirement | Single Entity | Joint Venture (existing or intended) | | | Submission Requirements |
| | | | | All Parties Combined | Each Member | One Member | |
| | | and the balance could be met by another member(s) in any one year (12 continuous months) within the allowed period. | | | | | |
| | | <p>(iii) Mechanized Track Laying Or Mechanized Track Relaying:</p> <p>For Contract Package No. 301:</p> <p>120 Track Km (TKM) in any one year (12 continuous months) during the period stated in 4.2 (b).</p> <p><u>For Contract Package No. 302:</u></p> <p>80 Track Km (TKM) in any one year (12 continuous months) during the period stated in 4.2 (b).</p> <p><u>For Both Contract</u></p> | Must meet requirements or can be a specialist sub-contractor | Must meet requirements or can be a specialist sub-contractor | N/A | Must meet requirements or can be a specialist sub-contractor | Form EXP – 4.2 (b) |

| Eligibility and Qualification Criteria | | | Compliance Requirements | | | Documentation | |
|--|---------|---|-------------------------|--------------------------------------|-------------|---------------|-------------------------|
| No. | Subject | Requirement | Single Entity | Joint Venture (existing or intended) | | | Submission Requirements |
| | | | | All Parties Combined | Each Member | One Member | |
| | | <p><u>Packages (301 & 302):</u></p> <p>200 Track Km (TKM) in any one year (12 continuous months) during the period stated in 4.2 (b).</p> <p>Note: Mechanized track laying or relaying means the following;</p> <p>“Laying or relaying of rail panels of 260 meters or more welded by mobile/ stationery/flash butt welding plant under control conditions in depots, Track Linking by use of portals, cranes, rail threader, track laying machines and use of tamping machines, dynamic track stabilizers, shoulder ballast compactors for making track fit for traffic movement.”</p> | | | | | |

| Eligibility and Qualification Criteria | | | Compliance Requirements | | | Documentation | |
|--|---------|--|--|--|-------------|--|-------------------------|
| No. | Subject | Requirement | Single Entity | Joint Venture (existing or intended) | | | Submission Requirements |
| | | | | All Parties Combined | Each Member | One Member | |
| | | <p>(iv) Construction of Important bridge over perennial river/ sea/ canal during the period stated in 4.2 (b)</p> <p><u>For Contract Package No. 301:</u></p> <p>Construction of single important bridge over perennial river/sea/canal of minimum 350 linear meters</p> <p><u>For Contract Package No. 302:</u></p> <p>There is no minimum requirement of construction of important bridge.</p> <p><u>For Both Contract Packages (301 & 302):</u></p> <p>Same requirement as for Contract Package No. 301</p> <p>Note: For the fulfilment of the above criteria of</p> | Must meet requirements or can be a specialist Sub-contractor | Must meet requirements or can be a specialist Sub-contractor | N/A | Must meet requirements or can be a specialist Sub-contractor | Form EXP – 4.2 (b) |

| Eligibility and Qualification Criteria | | | Compliance Requirements | | | | Documentation |
|--|---------------------------|---|---|---|-------------|---|-------------------------|
| No. | Subject | Requirement | Single Entity | Joint Venture (existing or intended) | | | Submission Requirements |
| | | | | All Parties Combined | Each Member | One Member | |
| | | completion of 350 m length of the bridge on a perennial river/sea/canal as a part of a single longer bridge is also permissible. In such a case the Contractor should be able to demonstrate having completed the foundation, sub-structure and super-structure covering a length of 350 m for each of these items. | | | | | |
| Note: For requirements of paragraph 4.2 (b), if year wise executed quantities are not stated in the Client's Certificate, the yearly average of quantity based on the entire contract period would be taken for the purpose of evaluation. | | | | | | | |
| 4.3(a) | General Design Experience | (i) In any single financial year in the last five financial years between 1 st January 2009 and application submission deadline, successful completion of at least one design consultancy project pertaining to Railway/Highway/ Port/Airport / Dams of a magnitude of | Must meet requirements or can be a specialist Sub-contractor | Must meet requirements or can be a specialist Sub-contractor | N/A | Must meet requirements or can be a specialist Sub-contractor | Form EXP 4.3 (a) |

| Eligibility and Qualification Criteria | | | Compliance Requirements | | | Documentation | |
|--|---------|---|-------------------------|--------------------------------------|-------------|---------------|-------------------------|
| No. | Subject | Requirement | Single Entity | Joint Venture (existing or intended) | | | Submission Requirements |
| | | | | All Parties Combined | Each Member | One Member | |
| | | <p><u>For Contract Package No. 301:</u> US\$ 1 million (One million)</p> <p><u>For Contract Package No. 302:</u> US\$ 0.5 million (Half of a million)</p> <p><u>For Both Contract Packages No. 301 and 302:</u> US\$ 1 million (One million)</p> <p>(ii) In any single financial year in the last five financial years between 1st January 2009 and application submission deadline, have collected at least the following amount of fees from the design activities for the projects pertaining to Railway/Highway/ Port/Airport :</p> <p><u>For Contract Package</u></p> | | | | | |

| Eligibility and Qualification Criteria | | | Compliance Requirements | | | Documentation | |
|--|----------------------------|--|--|--|-------------|--|-------------------------|
| No. | Subject | Requirement | Single Entity | Joint Venture (existing or intended) | | | Submission Requirements |
| | | | | All Parties Combined | Each Member | One Member | |
| | | <p>No. 301:US\$ 1.5 million (USD One million and five hundred thousand)</p> <p><u>For Contract Package</u></p> <p>No. 302:US\$ 0.75 million (USD Seven hundred fifty thousand)</p> <p><u>For Both Contract Packages</u></p> <p>No. 301 and 302:US\$ 1.5 million (USD One million and five hundred thousand)</p> | | | | | |
| 4.3 (b) | Specific Design Experience | <p>For the above or other contracts executed between 1st January 2009 and application submission deadline, a minimum design experience in the following key activities:</p> <p>1. Embankment Design: should have designed railway or highway</p> | <p>Must meet requirements or can be a specialist</p> <p>Sub-contractor</p> | <p>Must meet requirements or can be a specialist</p> <p>Sub-contractor</p> | N/A | <p>Must meet requirements or can be a specialist</p> <p>Sub-contractor</p> | Form EXP – 4.3 (b) |

| Eligibility and Qualification Criteria | | | Compliance Requirements | | | Documentation | |
|--|---------|--|-------------------------|--------------------------------------|-------------|---------------|-------------------------|
| No. | Subject | Requirement | Single Entity | Joint Venture (existing or intended) | | | Submission Requirements |
| | | | | All Parties Combined | Each Member | One Member | |
| | | <p>embankment during the period as stated above.</p> <p>2. Alignment Design: Should have designed at least the following length of railway / highway alignment during the period as stated above:</p> <p><u>For Contract Package No. 301:</u>50 km</p> <p><u>For Contract Package No. 302:</u>25 Km</p> <p><u>For Both Contract Packages No. 301 and 302:</u>50 Km</p> <p>3. Bridges & Structures: should have designed at least one (1) single bridge on perennial river</p> | | | | | |

| Eligibility and Qualification Criteria | | | Compliance Requirements | | | | Documentation |
|--|---------|--|-------------------------|--------------------------------------|-------------|------------|-------------------------|
| No. | Subject | Requirement | Single Entity | Joint Venture (existing or intended) | | | Submission Requirements |
| | | | | All Parties Combined | Each Member | One Member | |
| | | <div>/sea/Canal of total span stated below during the period stated above:</div> <div><u>For Contract Package No. 301</u>: 350 linear meter</div> <div><u>For Contract Package No. 302</u>: NIL</div> <div><u>For Both Contract Packages No. 301 & 302</u>: 350 linear meter</div> | | | | | |

Section IV. Application Forms

Table of Forms

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Application Submission Form

Date: *[insert day, month, and year]*
ICB No. and title: *[insert ICB number and title]*

To: *[insert full name of Employer]*

We, the undersigned, apply to be prequalified for the referenced ICB and declare that:

- (a) We have examined and have no reservations to the Prequalification Document, including Addendum(s) No(s)., issued in accordance with Instructions to Applicants (ITA) 8: *[insert the number and issuing date of each addendum]*.
- (b) We have no conflict of interest in accordance with ITA 4.6;
- (c) We meet the eligibility requirements as stated ITA 4.1; we have not been suspended by the Employer based on execution of a Bid Securing Declaration in accordance with ITA 4.10;
- (d) We, in accordance with ITA 24.2, plan to subcontract the following key activities and/or parts of the works:

[Insert any of the key activities identified in Section III- 4.2(a) or 4.2 (b) or 4.3(a) or 4.3 (b) as applicable which the Employer has permitted under the Prequalification document and which the Applicant intends to subcontract along with complete details of the sub-contractors, their qualification and experience]
- (e) We declare that the following commissions, gratuities, or fees have been paid or are to be paid with respect to the prequalification process, the corresponding bidding process or execution of the Contract:

| <u>Name of Recipient</u> | <u>Address</u> | <u>Reason</u> | <u>Amount</u> |
|---|---|--------------------------|--|
| <i>[insert full name for each occurrence]</i> | <i>[insert street/ number/city/country]</i> | <i>[indicate reason]</i> | <i>[specify amount currency, value, exchange rate and US\$ equivalent]</i> |
| _____ | _____ | _____ | _____ |
| _____ | _____ | _____ | _____ |
| _____ | _____ | _____ | _____ |
| _____ | _____ | _____ | _____ |

[If no payments are made or promised, add the following statement: "No commissions or gratuities have been or are to be paid by us to agents or any third party relating to this Application"]

- (f) We understand that you may cancel the prequalification process at any time and that you are neither bound to accept any Application that you may receive nor to invite the prequalified Applicants to bid for the contract subject of this prequalification process, without incurring any liability to the Applicants, in accordance with ITA 26.1.
- (g) All information, statements and description contained in the Application are in all respect

true, correct and complete to the best of our knowledge and belief.

(h) We are seeking pre-qualification for

- ☐ Contract Package 301*
- ☐ Contract Package 302*
- ☐ Both Contract Packages (301 & 302)*

* Please tick only one as appropriate

Signed *[insert signature(s) of an authorized representative(s) of the Applicant]*

Name *[insert full name of person signing the Application]*

In the capacity of *[insert capacity of person signing the Application]*

Duly authorized to sign the Application for and on behalf of: Applicant's Name *[insert full name of Applicant or the name of the JV]*

Address *[insert street number/town or city/country address]*

Dated on *[insert day number]* day of *[insert month]*, *[insert year]*

[For an a joint venture, either all members shall sign or only the authorized representative, in which case the power of attorney to sign on behalf of all members shall be attached]

Form ELI -1.1

Applicant Information Form

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

ICB No. and title: *[insert ICB number and title]*

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

Applicant's name

[insert full name]

In case of Joint Venture (JV), name of each member:

[insert full name of each member in JV]

Applicant's actual or intended country of registration:

[indicate country of Constitution]

Applicant's actual or intended year of incorporation:

[indicate year of Constitution]

Applicant's legal address [in country of registration]:

[insert street/ number/ town or city/ country]

Applicant's authorized representative information

Name: *[insert full name]*

Address: *[insert street/ number/ town or city/ country]*

Telephone/Fax numbers: *[insert telephone/fax numbers, including country and city codes]*

E-mail address: *[indicate e-mail address]*

1. Attached are copies of original documents of

- ☐ Articles of Incorporation (or equivalent documents of constitution or association), and/or documents of registration of the legal entity named above, in accordance with ITA 4.5.
- ☐ In case of JV, letter of intent to form JV or JV agreement, in accordance with ITA 4.2.
- ☐ In case of Government-owned enterprise or institution, in accordance with ITA 4.9 documents establishing:
 - Legal and financial autonomy
 - Operation under commercial law
 - Establishing that the Applicant is not dependent agency of the Employer

2. Included are the organizational chart, a list of Board of Directors, and the beneficial ownership.

Note: Refer ITA 14 for date and source of exchange rate.

Form ELI -1.2

Applicant's Party Information Form

[The following form is additional to Form ELI – 1.1., and shall be completed to provide information relating to each JV member (in case the Applicant is a JV) as well as any Specialized Sub-contractor proposed to be used by the Applicant for any part of the Contract resulting from this prequalification]

Date: *[insert day, month, year]*
ICB No. and title: *[insert ICB number and title]*
Page *[insert page number]* of *[insert total number]* pages

| |
|--|
| Applicant name: <i>[insert full name]</i> |
| Applicant's Party name: <i>[insert full name of Applicant's Party]</i> |
| Applicant's Party country of registration: <i>[indicate country of registration]</i> |
| Applicant Party's year of constitution: <i>[indicate year of constitution]</i> |
| Applicant Party's legal address in country of constitution: <i>[insert street/ number/ town or city/ country]</i> |
| Applicant Party's authorized representative information Name: <i>[insert full name]</i> Address: <i>[insert street/ number/ town or city/ country]</i> Telephone/Fax numbers: <i>[insert telephone/fax numbers, including country and city codes]</i> E-mail address: <i>[indicate e-mail address]</i> |
| <p>1. Attached are copies of original documents of</p> <p><input type="checkbox"/> Articles of Incorporation (or equivalent documents of constitution or association), and/or registration documents of the legal entity named above, in accordance with ITA 4.5.</p> <p><input type="checkbox"/> In case of a Government-owned enterprise or institution, documents establishing legal and financial autonomy, operation in accordance with commercial law, and absence of dependent status, in accordance with ITA 4.9.</p> <p>2. Included are the organizational chart, a list of Board of Directors, and the beneficial ownership.</p> |

Form ELI -1.3

Letter of Consent

(To be filled up by each Sub-contractor)

Sub-contractor's Name: [insert full name]

Applicant's Name: [insert full name]

Date: [insert day, month, year]

ICB No. and title: [insert ICB number and title]

Dear Sir,

The invitation for pre-qualification for [insert name of work] has been called for by *[insert name of employer]*.

In this regard, this is an undertaking that [insert name of Sub-contracting firm] having its office at *[insert address of the Sub-contracting firm]* is willing to participate as sub-contractor for *[insert brief work details for which sub-contractor will provide services]* with [insert name of applicant] for this project.

[Insert name, signature and seal of authorized representative of the Sub-contractor]

Form CON – 2

Historical Contract Non-Performance, Pending Litigation and Litigation History

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

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

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

Joint Venture Party Name: *[insert full name]*

ICB No. and title: *[insert ICB number and title]*

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

| Non-Performed Contracts in accordance with Section III, Qualification Criteria and Requirements | | | |
|---|---------------------------------------|---|---|
| <input type="checkbox"/> Contract non-performance did not occur since 1 st January <i>[insert year]</i> specified in Section III, Qualification Criteria and Requirements, Sub-Factor 2.1. | | | |
| <input type="checkbox"/> Contract(s) not performed since 1 st January <i>[insert year]</i> specified in Section III, Qualification Criteria and Requirements, requirement 2.1 | | | |
| Year | Non-performed portion of contract | Contract Identification | Total Contract Amount (current value, currency, exchange rate and US\$ equivalent) |
| <i>[insert year]</i> | <i>[insert amount and percentage]</i> | Contract Identification: <i>[indicate complete contract name/ number, and any other identification]</i> Name of Employer: <i>[insert full name]</i> Address of Employer: <i>[insert street/city/country]</i> Reason(s) for non-performance: <i>[indicate main reason(s)]</i> | <i>[insert amount]</i> |
| Pending Litigation, in accordance with Section III, Qualification Criteria and Requirements | | | |
| <input type="checkbox"/> No pending litigation in accordance with Section III, Qualification Criteria and Requirements, Sub-Factor 2.3. | | | |
| <input type="checkbox"/> Pending litigation in accordance with Section III, Qualification Criteria and Requirements, Sub-Factor 2.3 as indicated below. | | | |

Note: Refer ITA 14 for date and source of exchange rate.

| Year of dispute | Amount in dispute (currency) | Contract Identification | Total Contract Amount (currency), USD Equivalent (exchange rate) |
|---|------------------------------------|---|--|
| [insert year] | [insert amount] | <p>Contract Identification: [indicate complete contract name, number, and any other identification]</p> <p>Name of Employer: [insert full name]</p> <p>Address of Employer: [insert street/city/country]</p> <p>Matter in dispute: [indicate main issues in dispute]</p> <p>Party who initiated the dispute: [indicate "Employer" or "Contractor"]</p> <p>Status of dispute: [Indicate if it is being treated by the Adjudicator, under Arbitration or being dealt with by the Judiciary]</p> | [insert amount] |
| <p><input type="checkbox"/> No Litigation History in accordance with Section III, Qualification Criteria and Requirements, Sub-Factor 2.4.</p> <p><input type="checkbox"/> Litigation History in accordance with Section III, Qualification Criteria and Requirements, Sub-Factor 2.4 as indicated below.</p> | | | |
| Year of award | Outcome as percentage of Net Worth | Contract Identification | Total Contract Amount (currency), USD Equivalent (exchange rate) |
| [insert year] | [insert percentage] | <p>Contract Identification: [indicate complete contract name, number, and any other identification]</p> <p>Name of Employer: [insert full name]</p> <p>Address of Employer: [insert street/city/country]</p> <p>Matter in dispute: [indicate main issues in dispute]</p> <p>Party who initiated the dispute: [indicate "Employer" or "Contractor"]</p> <p>Status of dispute: [Indicate if it is being treated by the Adjudicator, under Arbitration or being dealt with by the Judiciary]</p> | [insert amount] |

Note: Refer ITA 14 for date and source of exchange rate.

Form FIN – 3.1

Financial Situation and Performance

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

Applicant's Name: [insert full name]

Date: [insert day, month, and year]

Applicant's Party Name: [insert full name]

ICB No. and title: [insert ICB number and title]

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

1. Financial data

| Type of Financial information in (currency) | Historic information for previous [insert number] years, [insert in words] (amount in currency, currency, exchange rate*, USD equivalent) | | | | |
|--|---|-----------|-----------|-----------|-----------|
| | Year 1 | Year 2 | Year 3 | Year 4 | Year 5 |
| Statement of Financial Position (Information from Balance Sheet) | | | | | |
| I. Available Working Capital | | | | | |
| A. Total Assets (TA) (Excluding Deferred Expenditure and Losses) | | | | | |
| B. Total Outside Liabilities (TL) (Long Term Liabilities and Current Liabilities and Provisions) | | | | | |
| C. Revaluation Reserve | | | | | |
| D. Net Worth (A-B-C) | | | | | |
| E. Current Assets (CA) | | | | | |
| F. Current Liabilities and Provisions (CL) | | | | | |
| G. Working Capital (E-F) | | | | | |
| H. Net Working Capital required for other commitments, if any (Total of col 7 - col 8 of FORM OC) | | | | | |
| I. Proposed specific line of credit agreed by commercial Bank for the subject contract(s) | | | | | |
| J. Total Available Working Capital (G+I-H) for the subject contract net of other commitments | | | | | |
| II. Working Capital available after meeting requirement of Future Contracts Commitments | | | | | |
| K. Working Capital requirements for future contract | | | | | |

| Type of Financial information in (currency) | Historic information for previous [insert number] years, [insert in words] (amount in currency, currency, exchange rate*, USD equivalent) | | | | |
|--|---|-----------|-----------|-----------|-----------|
| | Year 1 | Year 2 | Year 3 | Year 4 | Year 5 |
| commitments [Total of col. 9 of Form: CCC] | | | | | |
| L. Sources of Finance for future contract commitments (Total of column 10 of Form CCC) | | | | | |
| M. Working Capital Available for the current as well as future contracts (J-K+L) | | | | | |
| III. Financial Soundness | | | | | |
| N. Net worth | | | | | |
| O. Profit before taxes | | | | | |
| P. Profit after taxes | | | | | |

* Refer ITA 14 for the exchange rate

2. Sources of Finance

[The following table shall be filled in for the Applicant and all parties combined in case of a Joint Venture]

Specify sources of finance to meet the cash flow requirements on works currently in progress and for future contract commitments.

| No. | Source of finance | Amount (US\$ equivalent) |
|-----|-------------------|--------------------------|
| 1 | | |
| 2 | | |
| 3 | | |
| 4 | | |

3. Financial documents

The Applicant and its parties shall provide copies of financial statements for the last five financial years pursuant Section III, Qualifications Criteria and Requirements, Sub-factor 3.1. The financial statements shall:

- (a) reflect the financial situation of the Applicant or in case of JV member, and not an affiliated entity (such as parent company or group member).

- (b) be independently audited or certified in accordance with local legislation.
 - (c) be complete, including all notes to the financial statements.
 - (d) correspond to accounting periods already completed and audited.
- ☐ Attached are copies of financial statements¹³ for the last 5 financial years required above; and complying with the requirements

¹³ If the most recent set of financial statements is for a period earlier than 12 months from the date of application, the reason for this should be justified.

Form CCC

CURRENT WORKS CONTRACTS TO BE IMPLEMENTED AND / OR COMPLETED IN THE FUTURE

| S. No. | Name of the Contract | JV Percentage Share (%) | Expected Date of Commencement | Total Contract Value | Currency Conversion Rate | Converted Contract Value (in USD Million) | Scheduled date of Completion | Estimated Average Billing for 4 months working capital requirements) (in USD Million) | Fund based line of credit sanctioned for these contracts) (in USD Million) | Remarks |
|--------|----------------------|-------------------------|-------------------------------|----------------------|--------------------------|---|------------------------------|---|--|---------|
| 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 |
| | | | | | | | | | | |
| 1 | | | | | | | | | | |
| 2 | | | | | | | | | | |
| 3 | | | | | | | | | | |
| 4 | | | | | | | | | | |
| 5 | | | | | | | | | | |
| 6 | | | | | | | | | | |
| 7 | | | | | | | | | | |
| ... | | | | | | | | | | |
| | | | | | | | | | | |
| Total | | | | | | | | | | |

Future Contract Commitment means, the Contract which are awarded but the work execution is yet to start.

Notes:

1. Copy of Joint Venture (JV) agreement for each contract should be submitted.
2. Copy of Letter of Award (LoA) for each contract should be submitted.
3. The figures in columns 5 should be for the share of JV partner.
4. In support of the fund based line of credit, letter of the bank should be submitted.

FORM OC

OTHER COMMITMENTS

OTHER THAN CONSTRUCTION CONTRACTS (FOR FUTURE WORKS / PROJECTS / ACTIVITIES TO BE UNDERTAKEN)

| S. No. | Name of the Work / Project / Activity | Estimated Turn Over | Estimated Amount of Working Capital Required | Currency | Conversion Rate to USD | Value of Working Capital (in USD equivalent) 28 days before last PQ Submission Date | Source of Fund | Basis for figures given in Col 4 | Remark |
|--------|---------------------------------------|---------------------|--|----------|------------------------|---|----------------|----------------------------------|--------|
| (1) | (2) | (3) | (4) | (5) | (6) | (7) | (8) | (9) | (10) |
| | | | | | | | | | |
| 1 | | | | | | | | | |
| 2 | | | | | | | | | |
| 3 | | | | | | | | | |
| 4 | | | | | | | | | |
| 5 | | | | | | | | | |
| 6 | | | | | | | | | |
| 7 | | | | | | | | | |
| 8 | | | | | | | | | |
| 9 | | | | | | | | | |
| 10 | | | | | | | | | |
| ... | | | | | | | | | |
| | | | | | | | | | |
| Total | | | | | | | | | |

Form FIN - 3.2

Average Annual Construction Turnover

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

Applicant's/Joint Venture Member's Name: [insert full name]

Date: [insert day, month, year]

Applicant's Party Name: [insert full name]

ICB No. and title: [insert ICB number and title]

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

| Annual turnover data (construction only) | | | |
|---|--|---|----------------|
| Year (Financial year to be indicated by Applicant) | Amount Currency | Exchange rate* | USD equivalent |
| <i>[indicate financial year]</i> | <i>[insert amount and indicate currency]</i> | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | Average Annual Construction Turnover ** | |

* Refer ITA 14 for date and source of exchange rate.

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

Form EXP - 4.1

General Construction Experience

[The following table shall be filled in for the Applicant and in the case of a JV Applicant, each Member]

Applicant's/Joint Venture Member's Name: *[insert full name]*

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

Applicant JV Party Name: *[insert full name]*

ICB No. and title: *[insert ICB number]*

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

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

| Starting Year | Ending Year | Contract Identification | Role of Applicant |
|------------------------|------------------------|---|--|
| <i>[indicate year]</i> | <i>[indicate year]</i> | Contract name: <i>[insert full name]</i> Brief Description of the Works performed by the Applicant: <i>[describe works performed briefly]</i> Amount of contract: <i>[insert amount in currency, mention currency used, exchange rate and US\$ equivalent*]</i> Name of Employer: <i>[indicate full name]</i> Address: <i>[indicate street/number/town or city/country]</i> | <i>[insert "Prime Contractor" or "JV Member" or "Sub-contractor" or "Management Contractor"]</i> |
| | | Contract name: <i>[insert full name]</i> Brief Description of the Works performed by the Applicant: <i>[describe works performed briefly]</i> Amount of contract: <i>[insert amount in currency, mention currency used, exchange rate and US\$ equivalent*]</i> Name of Employer: <i>[indicate full name]</i> Address: <i>[indicate street/number/town or city/country]</i> | <i>[insert "Prime Contractor" or "JV Member" or "Sub-contractor" or "Management Contractor"]</i> |
| | | Contract name: <i>[insert full name]</i> Brief Description of the Works performed by the Applicant: <i>[describe works performed briefly]</i> Amount of contract: <i>[insert amount in currency, mention currency used, exchange rate and US\$ equivalent*]</i> Name of Employer: <i>[indicate full name]</i> Address: <i>[indicate street/number/town or city/country]</i> | <i>[insert "Prime Contractor" or "JV Member" or "Sub-contractor" or "Management Contractor"]</i> |

* Refer ITA 14 for date and source of exchange rate.

Form EXP - 4.2(a)

Specific Construction and Contract Management Experience

[The following table shall be filled in for contracts performed by the Applicant, each member of a Joint Venture, and Specialized Sub-contractors]

Applicant's/Joint Venture Member's Name: *[insert full name]*

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

JV Party Name: *[insert full name]*

ICB No. and title: *[insert ICB number and title]*

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

| Similar Contract No. <i>[insert number] of [insert number of similar contracts required]</i> | Information | | | |
|---|--|---|--|--|
| Contract Identification | <i>[insert contract name and number, if applicable]</i> | | | |
| Award date | <i>[insert day, month, year, i.e., 15 June, 2015]</i> | | | |
| Completion date | <i>[insert day, month, year, i.e., 03 October, 2017]</i> | | | |
| Role in Contract <i>[check the appropriate box]</i> | Prime Contractor <input type="checkbox"/> | Member in JV <input type="checkbox"/> | Management Contractor <input type="checkbox"/> | Sub-contractor <input type="checkbox"/> |
| Total Contract Amount | <i>[insert total contract amount in local currency]</i> | | US\$ <i>[insert Exchange rate and total contract amount in US\$ equivalent]*</i> | |
| If member in a JV or sub-contractor, specify participation in total Contract amount | <i>[insert a percentage amount]</i> | <i>[insert total contract amount in local currency]</i> | <i>[insert exchange rate and total contract amount in US\$ equivalent]*</i> | |
| Employer's Name: | <i>[insert full name]</i> | | | |
| Address: | <i>[indicate street / number / town or city / country]</i> | | | |
| Telephone/fax number | <i>[insert telephone/fax numbers, including country and city area codes]</i> | | | |
| E-mail: | <i>[insert e-mail address, if available]</i> | | | |

* Refer ITA 14 for date and source of exchange rate.

Form EXP - 4.2(a) (cont.)

Specific Construction and Contract Management Experience (cont.)

| Similar Contract No. <i>[insert number] of [insert number of similar contracts required]</i> | Information |
|---|---|
| Description of the similarity in accordance with Sub-Factor 4.2(a) of Section III: | |
| 1. Amount | <i>[insert amount in local currency, exchange rate, US\$ in words and in Figures]</i> |
| 2. Physical size of required works items | <i>[insert physical size of items]</i> |
| 3. Complexity | <i>[insert description of complexity]</i> |
| 4. Methods/Technology | <i>[insert specific aspects of the methods/technology involved in the contract]</i> |
| 5. Construction rate for key activities | <i>[insert rates and items]</i> |
| 6. Other Characteristics | <i>[insert other characteristics as described in Section VII, Scope of Works]</i> |

Form EXP - 4.2(b)

Construction Experience in Key Activities

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

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

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

Sub-contractor's Name¹⁴ (as per ITA 24.2 and 24.3): *[insert full name]*

ICB No. and title: *[insert ICB number and title]*

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

All Sub-contractors for key activities must complete the information in this form as per ITA 24.2 and 24.3 and Section III, Qualification Criteria and Requirements, Clause 4.2.

1. Key Activity No. One: *[insert brief description of the Activity, emphasizing its specificity]*

Total Quantity of Activity under the contract:

| | Information | | | |
|---|---|--|---|---|
| Contract Identification | <i>[insert contract name and number, if applicable]</i> | | | |
| Award date | <i>[insert day, month, year, i.e., 15 June, 2015]</i> | | | |
| Completion date | <i>[insert day, month, year, i.e., 03 October, 2017]</i> | | | |
| Role in Contract <i>[check the appropriate box]</i> | Prime Contractor <input type="checkbox"/> | Member in JV <input type="checkbox"/> | Management Contractor <input type="checkbox"/> | Sub-contractor or <input type="checkbox"/> |
| Total Contract Amount | <i>[insert total contract amount in contract currency(ies)]</i> | | US\$ <i>[insert exchange rate and total contract amount in US\$ equivalent]</i> | |
| Quantity (Volume, number or rate of production, as applicable) performed under the contract per year or part of the year <i>[Insert extent of participation indicating actual quantity of key activity successfully completed in the role performed]</i> | Total quantity in the contract (i) | Percentage participation (ii) | | Actual Quantity Performed (i) x (ii) |
| Year 1* | | | | |
| Year 2* | | | | |
| Year 3* | | | | |
| Year 4* | | | | |

¹⁴ If applicable

| | | | |
|--|--|--|--|
| <p align="center">Year 5*</p> <p>* Insert actual year like year 2009 or FY 2009-10 or any other continuous period of 12 months etc.</p> | | | |
| Employer's Name: | <i>[insert full name]</i> | | |
| Address: | <i>[indicate street / number / town or city / country]</i> | | |
| Telephone/fax number | <i>[insert telephone/fax numbers, including country and city area codes]</i> | | |
| E-mail: | <i>[insert e-mail address, if available]</i> | | |

2. Activity No. Two

3.

| | |
|--|--|
| | Information |
| Description of the key activities in accordance with Sub-Factor 4.2(b) of Section III: | <i>[insert response to inquiry indicated in left column]</i> |
| 1. Maximum volume of earth work in Formation in cubic meter in any one year from 1st Jan 2009 to application submission deadline. | |
| 2. Maximum concreting in Bridges and other structures in cubic meter in any one year from 1st Jan 2009 to application submission deadline. | |
| 3. Maximum Mechanized Track- laying or Mechanized relaying in Track Km in any one year from 1st Jan 2009 to application submission deadline. | |
| 4. Construction of bridge on perennial river/sea/Canal of total span in linear meters from 1st Jan 2009 to application submission deadline. | |

Form EXP - 4.3 (a)

Similar Design Experience

[The following table shall be filled in for contracts performed by the Applicant, each member of a Joint Venture, and Specialized Sub-contractors]

Applicant's/Joint Venture Member's Name: *[insert full name]*

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

JV Party Name: *[insert full name]*

ICB No. and title: *[insert ICB number and title]*

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

| Similar Contract No. <i>[insert number] of [insert number of similar contracts required]</i> | Information | |
|--|--|--|
| Contract Identification | <i>[insert contract name and number, if applicable]</i> | |
| Award date | <i>[insert day, month, year, i.e., 15 June, 2015]</i> | |
| Completion date | <i>[insert day, month, year, i.e., 03 October, 2017]</i> | |
| Role in Contract <i>[check the appropriate box]</i> | Design Consultant <input type="checkbox"/> | Sub Design Consultant <input type="checkbox"/> |
| Total Contract Amount | <i>[insert total contract amount in local currency]</i> | US\$ <i>[insert Exchange rate and total contract amount in US\$ equivalent]*</i> |
| If member in a JV or sub-contractor, specify participation in total Contract amount | <i>[insert a percentage amount]</i> | <i>[insert total contract amount in local currency]</i> |
| Employer's Name: | <i>[insert full name]</i> | |
| Address: | <i>[indicate street / number / town or city / country]</i> | |
| Telephone/fax number | <i>[insert telephone/fax numbers, including country and city area codes]</i> | |
| E-mail: | <i>[insert e-mail address, if available]</i> | |

* Refer ITA 14 for date and source of exchange rate.

| Similar Contract No. <i>[insert number] of [insert number of similar contracts required]</i> | Information |
|--|--------------------|
| Description of the similarity in accordance with Sub-Factor 4.3(a) of Section III: | |

Form EXP - 4.3(b)

Specific Design Experience

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

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

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

Nominated Sub-contractor's Legal Name: *[insert full name]*

ICB No. and title: *[insert ICB number and title]*

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

Applicants or specialist Sub-contractors for key activities must complete the information in this form as per Section III, Qualification Criteria and Requirements, Sub-Factor 4.3 (b).

1. Key Activity No. One: *[insert brief description of the Activity, emphasizing its specificity]*

[Separately for each activity listed in 4.3 (b)]:

| | Information | | |
|--|--|--|---|
| Contract Identification | <i>[insert contract name and number, if applicable]</i> | | |
| Award date | <i>[insert day, month, year, i.e., 15 June, 2015]</i> | | |
| Completion date | <i>[insert day, month, year, i.e., 03 October, 2017]</i> | | |
| Role in Contract <i>[check the appropriate box]</i> | Design Consultant <input type="checkbox"/> | Sub Design Consultant <input type="checkbox"/> | |
| Total Contract Amount | <i>[insert total contract amount in currency(ies)]</i> | US\$ <i>[insert exchange rate and total contract amount in US\$ equivalent]</i> | |
| If party in a JV, specify participation of total contract amount | <i>[insert percentage amount]</i> | <i>a [insert total contract amount in the currencies as given in the Contract]</i> | <i>[insert exchange rate and total contract amount in US\$ equivalent]*</i> |
| Employer's Name: | <i>[insert full name]</i> | | |
| Address: | <i>[indicate street / number / town or city / country]</i> | | |
| Telephone/fax number | <i>[insert telephone/fax numbers, including country and city area codes]</i> | | |
| E-mail: | <i>[insert e-mail address, if available]</i> | | |

2. Key Activity No. 2

3. Key Activity No. 3

| | Information |
|---|--|
| Description of the key activities in accordance with Sub-Factor 4.3(b) of Section III: | <i>[insert response to inquiry indicated in left column]</i> |
| 1. Design capability for design of Embankment of Railway or Highway—Description of design work carried out from 1 st January 2009 to application submission deadline for embankment for Railway /Highway. | |
| 2. Description of design work for design of Railway/ Highway alignment - software availability or access to and experience of using it for alignment design carried out from 1 st January 2009 to application submission deadline. | |
| 3. Description of design work for design of Bridges* on perennial river/sea/canal in linear meters carried out from 1 st January 2009 to application submission deadline. * Every bridge on perennial river(s)/sea/canal should be listed separately. | |

Section V. Eligible Countries

Eligibility for the Provision of Goods, Works and Services in Bank-Financed Procurement

In reference to ITA 5.1, for the information of the Applicants, at the present time firms and individuals, supply of goods, or contracting of works or services, from the following countries are excluded from this prequalification process:

Under ITA 5.1 (a) *None*

Under ITA 5.1 (b) *None*

Section VI. Bank Policy - Corrupt and Fraudulent Practices

Guidelines for Procurement of Goods, Works, and Non-Consulting Services under IBRD Loans and IDA Credits & Grants by World Bank Borrowers, dated January 2011

“Fraud and Corruption

1.16 It is the Bank’s policy to require that Borrowers (including beneficiaries of Bank loans), bidders, suppliers, contractors and their agents (whether declared or not), sub-contractors, sub-consultants, service providers or suppliers, and any personnel thereof, observe the highest standard of ethics during the procurement and execution of Bank-financed contracts.¹⁵ In pursuance of this policy, the Bank:

- (a) defines, for the purposes of this provision, the terms set forth below as follows:
 - (i) “corrupt practice” is the offering, giving, receiving, or soliciting, directly or indirectly, of anything of value to influence improperly the actions of another party;¹⁶
 - (ii) “fraudulent practice” is any act or omission, including a misrepresentation, that knowingly or recklessly misleads, or attempts to mislead, a party to obtain a financial or other benefit or to avoid an obligation;¹⁷
 - (iii) “collusive practice” is an arrangement between two or more parties designed to achieve an improper purpose, including to influence improperly the actions of another party;¹⁸
 - (iv) “coercive practice” is impairing or harming, or threatening to impair or harm, directly or indirectly, any party or the property of the party to influence improperly the actions of a party;¹⁹
 - (v) “obstructive practice” is
 - (aa) deliberately destroying, falsifying, altering, or concealing of evidence material to the investigation or making false statements to investigators in order to materially impede a Bank investigation into allegations of a corrupt, fraudulent, coercive or collusive practice; and/or threatening, harassing or intimidating any party to prevent it from disclosing its knowledge of matters relevant to the investigation or from pursuing the investigation, or
 - (bb) acts intended to materially impede the exercise of the Bank’s inspection and audit rights provided for under paragraph 1.16(e) below.
- (b) will reject a proposal for award if it determines that the bidder recommended for award, or any of its personnel, or its agents, or its sub-consultants, sub-contractors, service providers, suppliers and/or their employees, has, directly or indirectly, engaged in corrupt,

¹⁵In this context, any action to influence the procurement process or contract execution for undue advantage is improper.

¹⁶ For the purpose of this sub-paragraph, “another party” refers to a public official acting in relation to the procurement process or contract execution. In this context, “public official” includes World Bank staff and employees of other organizations taking or reviewing procurement decisions.

¹⁷ For the purpose of this sub-paragraph, “party” refers to a public official; the terms “benefit” and “obligation” relate to the procurement process or contract execution; and the “act or omission” is intended to influence the procurement process or contract execution.

¹⁸ For the purpose of this sub-paragraph, “parties” refers to participants in the procurement process (including public officials) attempting either themselves, or through another person or entity not participating in the procurement or selection process, to simulate competition or to establish bid prices at artificial, non-competitive levels, or are privy to each other’s bid prices or other conditions.

¹⁹ For the purpose of this sub-paragraph, “party” refers to a participant in the procurement process or contract execution.

- fraudulent, collusive, coercive, or obstructive practices in competing for the contract in question;
- (c) will declare misprocurement and cancel the portion of the loan allocated to a contract if it determines at any time that representatives of the Borrower or of a recipient of any part of the proceeds of the loan engaged in corrupt, fraudulent, collusive, coercive, or obstructive practices during the procurement or the implementation of the contract in question, without the Borrower having taken timely and appropriate action satisfactory to the Bank to address such practices when they occur, including by failing to inform the Bank in a timely manner at the time they knew of the practices;
 - (d) will sanction a firm or individual, at any time, in accordance with the prevailing Bank's sanctions procedures,²⁰ including by publicly declaring such firm or individual ineligible, either indefinitely or for a stated period of time: (i) to be awarded a Bank-financed contract; and (ii) to be a nominated²¹
 - (e) will require that a clause be included in bidding documents and in contracts financed by a Bank loan, requiring bidders, suppliers and contractors, and their sub-contractors, agents, personnel, consultants, service providers, or suppliers, to permit the Bank to inspect all accounts, records, and other documents relating to the submission of bids and contract performance, and to have them audited by auditors appointed by the Bank;"

²⁰ A firm or individual may be declared ineligible to be awarded a Bank financed contract upon: (i) completion of the Bank's sanctions proceedings as per its sanctions procedures, including, inter alia, cross-debarment as agreed with other International Financial Institutions, including Multilateral Development Banks, and through the application the World Bank Group corporate administrative procurement sanctions procedures for fraud and corruption; and (ii) as a result of temporary suspension or early temporary suspension in connection with an ongoing sanctions proceeding. See footnote 14 and paragraph 8 of Appendix 1 of these Guidelines.

²¹ A nominated sub-contractor, consultant, manufacturer or supplier, or service provider (different names are used depending on the particular bidding document) is one which has either been: (i) included by the bidder in its pre-qualification application or bid because it brings specific and critical experience and know-how that allow the bidder to meet the qualification requirements for the particular bid; or (ii) appointed by the Borrower.

PART 2 – Works Requirements

Section VII. Scope of Works

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1. Description of Works

1.1 General

1.1.1 The Dedicated Freight Corridor (DFC) Project:

Ministry of Railways (MOR), Government of India has planned to construct Dedicated High Axle Load Freight Corridor covering about 3363 kms on two corridors, Eastern Corridor from Ludhiana (Sahnewal) to Dankuni and Western Corridor from Jawaharlal Nehru Port, Mumbai to Tughlakabad/ Dadri near Delhi along with inter-linking of the two corridors at Dadri.

The DFC Project entails construction of mostly double line railway tracks except single line between Khurja – Sahnewal (near Ludhiana). Up-gradation of transportation technology, increase in productivity and reduction in unit transportation costs have been taken as guiding principles for formulating the DFC project. Various operating systems, motive power, signalling and work processes are required to conform to this broad perspective.

1.2 Dedicated Freight Corridor Corporation of India Limited

1.2.1 Dedicated Freight Corridor Corporation of India Ltd. (DFCC), a public sector company has been set up under the Indian Companies Act 1956 for implementation of Dedicated Freight Corridor Project. Government of India is the sole shareholder of the DFCC.

1.3 Eastern Dedicated Freight Corridor Alignment

1.3.1 Eastern DFC Route will be approximately 1847 Km long from Dankuni to Ludhiana via Mughalsarai – Allahabad – Kanpur – Tundla – Aligarh and Khurja. Proposed alignment of DFC has been generally kept parallel to existing Indian Railway line except provision of detours at Mughalsarai, Mirzapur, Manda Road, Allahabad, Bharwari, Sirathu, Khaga, Fatehpur, Kanpur, Etawah, Tundla, Hathras, Aligarh, Hapur, Meerut/Muzaffarnagar, and Ambala.

1.3.2 The Eastern Dedicated Freight Corridor (EDFC) alignment passes through six States viz. West Bengal, Jharkhand, Bihar, Uttar Pradesh, Haryana and Punjab. It traverses Howrah, Hoogly, Bardhaman districts in West Bengal and Gaya, Aurangabad, Rohtas (Sasaram) and Kaimur (Bhabua) districts in Bihar, Chandauli, Varanasi, Mirzapur, Allahabad, Kausambi, Fatehpur, Kanpur (Urban), Kanpur (Rural), Auraiya, Etawah, Ferozabad, Agra, Hathras, Aligarh, Bulandsahr, Ghaziabad, Gautambudhnagar, Meerut, Muzaffar Nagar, Saharanpur districts in Uttar Pradesh, Yamuna Nagar, Ambala districts in Haryana and Patiala, Fatehgarh Sahib, Ludhiana districts in Punjab.

1.4 Project Phasing

The project is planned in a phased manner. The first phase of the Project covers a length of 343 km from Bhaupur to Khurja-all double line.

The second phase (Phase-2) covers a length of 402 route km between Mughalsarai – New Bhaupur section double-line, 2x25 KV Electrified section with Automatic Block Signaling.

Phase 3 consists of about 404 Km single line, Khurja – Sahnewal (near Ludhiana), 2x25 Kv electrified, signalling with absolute block working. Eastern and Western Corridors of DFCC are connected to each other through a 46 Km double line link between Khurja and Dadri. It will also be, 2x25 KV Electrified section with Automatic Block Signaling. This link is also a part of Phase-3 of Eastern Corridor.

1.5 Funding of the Project

- 1.5.1 Eastern DFC Project for 1183 Km including Phase 2 and 3 is to be funded by World Bank and for Phase-1 of Eastern DFC i.e. Khurja –Bhaupur Section, loan has already been sanctioned by World Bank vide Loan No. 8066 –IN.

1.6 Alignment of Sahnewal-Pilkhani and Dadri-Khurja Sections

- 1.6.1 The alignment of Sahnewal-Pilkhani (175 km) single line section (175 km) mostly runs parallel to the existing IR track except for a length of approximately 18 km which is covered through 3 (three) detours at Ambala Cantt, Shambhu and Sirhind.

The alignment of Dadri-Khurja connecting the Eastern and Western Corridors is a double line section with an approximate length of 46 km and runs parallel to the existing IR track except for a detour at Wair with an approximate length of 5 km.

- 1.6.2 Grade separators are planned over existing Indian Railway tracks for uninterrupted flow of traffic of both Indian Railways (IR) traffic and DFCC at Ambala, Shambhu and Sirhind.

Sketches showing the alignments are attached as Annexure I and II.

1.7 Present Status of Phase 3

- 1.7.1 Presently, the process of land acquisition between Sahnewal – Pilkhani (approximately 175 kms of single line) and Dadri – Khurja Section (46 kms of double line) is nearing completion. The Social Impact Assessment and Environment Impact Assessment studies for this section have also been completed. A portion of alignment falling in detours between Pilkhani – Khurja Section (approximately 229 km of single line) has been modified recently because of various constraints. While land acquisition of original alignment (other than

detours) has been completed, the process of land acquisition for modified alignment on detours of Phase 3 is likely to take some more time. The present pre-qualification document is only for the Civil, Structures and Track Works of the following sections:

1. Sahnewal – Pilkhani (approximately 175 kms of single line) – Contract Package 301
2. Dadri – Khurja Section (46 kms of double line) – Contract Package 302

The current Prequalification exercise is to identify suitable Bidders for the two Civil, Structures and Track Works Contracts designated as Contract 301 and Contract 302.

The detailed scope of the work is described below:

1.8 Scope of Works

Scope of Work as included in this document is indicative. Detailed Scope of Work will be included in the Bid documents to be issued to pre-qualified bidders.

- a) The Contractor shall undertake the design, construction, manufacture, supply, installation, testing and commissioning of the Civil, Structure, and Track works including construction of staff quarters, station buildings, rest houses, allied service buildings etc., the design, construction and removal of any Temporary Works and diversions of utility services both of IR and other impacted authorities as included in Employer's Requirement of Bid Document.
- b) In addition, the Contractor shall undertake the rectification of defects appearing in the Permanent Works in the manner and to the standards within the time stipulated by the Contract.
- c) In full recognition of these objectives and with full acceptance of the obligations, the Contractor shall execute the Works taking into account all liabilities and risks that may be involved.
- d) The system design and its installation will be carried out by OHE Contractor & Signalling Contractor and includes electrification of the line, new signalling and control systems, new telecommunication system, SCADA control system. As such, these works are excluded from the scope of this document.
- e) The design of all the works will be operationally compatible with the other Indian Railways (IR) sections connecting to the DFC.
- f) The Employer may decide to take over the constructed sections from the Contractor in a phased manner as per mutually agreed handing over plan.

- g) The Civil, structure and Track Works Contractor shall undertake interface co-ordination with the OHE Contractor & Signalling Contractors, who shall be carrying out works forming part of this Project. There will be a continuous requirement of coordination among the Contractors in respect of, but not limited to, design of cable trenching, masts for overhead electrification, interlocking of points and crossings, construction of facilities for maintenance, other allied structures and subsequently during the installation of signalling and traction power systems.

1.9 Permanent Works

1.9.1 The permanent works shall comprise of but not limited to the design, construction, manufacture, supply, installation, testing and commissioning of:

- a) Track substructure including drainage, embankments, cuttings, blanketing, ballast, bridges (Important/major/minor), underpasses, rail flyovers etc.
- b) Track superstructure including but not limited to setting out, benchmarking, rail and sleepers with fastenings, rail slab where necessary, turnouts, buffer stops, expansion joints, track signage, etc.
- c) Road overpasses and underpasses including approach roads, substructures, surfacing, drainage facilities, guardrails etc. ;
- d) Road modifications for the roads affected by the railway line and relevant facilities;
- e) Remodelling of Level Crossing Gates and duty hut of Existing Indian Railways Network located on DFCC alignment;
- f) Platforms including drainage, fencing, pavement.
- g) Yard complexes including fencing, drainage, sewerage, craneage, and safety equipment;
- h) On-duty points for maintenance staff including fencing, buildings, drainage, sewerage, offices, stores, craneage, lighting, E&M services and car parking, office equipment and furniture, kitchenware, bathrooms, beds etc., installation and safety equipment;
- i) Noise barriers in urban areas;
- j) Fencing at stations;
- k) Utility diversions as applicable; and
- l) Any other activity connected with the construction and commissioning of railways.

1.10 Salient Engineering Features of the Project

1.10.1 The indicative engineering features/performance specifications of the works are as given under:-

| S. N. | Description | Details |
|-------|--|---|
| 1 | Gradient | |
| | Ruling Gradient | 1 : 200 (compensated) |
| | Desired Gradient in yards | 1 : 1200 |
| | Minimum Gradient in yards | 1 : 600 |
| 2 | Formation width on straight tracks* | |
| | Bank width for Double line (embankment) | 13.5 metres |
| | Bank width for Double line (Cutting excluding Side drains) | 13.5 metres |
| | Bank width for Single line (embankment) | 7.6 metres |
| | Bank width for Single line (Cutting excluding Side drains) | 7.5 metres |
| | Formation | As per GE-14 report of RDSO |
| 3 | Curves | |
| | Recommended Radii and degree of Curves | 700 metres (2.5 degree) |
| | Curve Compensation | @ 0.04% per degree of curvature |
| 4 | Minimum Vertical Clearance above Rail level | |
| | i. For Light Overhead Structure like FOBs | 6.325 m |
| | ii. For Heavy Overhead Structure like ROB | 6.805 m |
| | iii. Heavy Overhead structures like ROB over turnouts | 6.805 m |
| 5 | Track Centre | |
| | Minimum distance between two tracks of DFC | 6.0 metres |
| | Minimum distance between existing IR track and DFC | 6.0 metres |
| 6 | Bridges | |
| | Standard of loading | DFC loading as per Indian Railway Bridge Rules for 32.5T axle load. |
| 7 | Track Structures | |
| | Gauge | 1676 mm |
| | Rails | UIC 60 – IRS T12-2009 |
| | Sleepers | Mono-block Concrete, rail seat for 60 Kg/m |

| S. N. | Description | Details |
|-------|---|--|
| | | rails conforming to the overall dimensions and specifications of RDSO design. |
| | Rail Length | Rolled section as per IRS T – 12 – 2009 |
| | Welding | Flash Butt Welded to 260 m or more. Further Welded to CWR in track using Mobile Flash Butt Welding Plant |
| | Turnouts** | turnouts with 60 Kg thick web curved switches with CMS crossings (1:12 for main line and first loops; 1:8.5 is permissible only for take offs for sidings) |
| | Level Crossings | DFC Track Level with Adjacent IR Track Assembly – IRS Design |
| | Yards | Running Lines, Hot Axle, Machine and ballast Sidings as per approved yard plans |
| | Other Components | SEJ – IRS/New Design Glued Insulating Joints- IRS/New Design |
| | Ballast | 350 mm Cushion laid over a suitably designed embankment with a blanketing layer of designed thickness. |
| | Track Construction | Fully Mechanized with appropriate plant and machinery. |
| | Specifications | Design and Construction Conforming to Indian Railway Standards and DFCC Standards |
| 8 | Track Construction Track Construction would be done to suit train speed up to 100 kmph. The track would consist of the main lines, loops, sidings and would involve laying of turnouts, switch expansion joints, the rail insulated joints, dead ends protected by buffer stops. Specialized track construction would be required at level crossings. The loops in general would be having a length of 750m/1500m. The track construction would be required to be done for bulk of the length in the vicinity of Indian Railway Tracks carrying a very high density of freight and passenger carrying trains. As such the construction of the proposed DFC tracks would be required to be done to cause least interference to the movement of Indian Railway Traffic. The DFC track would be required to be integrated with Indian Railway track at nominated junction stations. | |

*The bank width would be suitably increased to cater for the increased ballast cushion on the outside of curve for the cant of the curve.

** The turnouts in the IR yards at the junction stations will be as per approved IR designs.

1.11 Technical Standards and Specifications

- 1.11.1 The general designs are based on Codes of Practice prescribed by the Indian Railways, Bureau of Indian Standards, and Indian Roads Congress etc. Where the standards and specifications are not available in the Indian Codes of Practice, International Codes of Practice/Specifications to be adopted with the approval of DFCC. Detailed specifications would be provided in the bidding documents.
- 1.11.2 Research Design and Standards Organization (RDSO), Lucknow, India, an organization of Ministry of Railways, Government of India has standardized the technical specifications for various components of railway systems in India as Indian Railway Standard (IRS) Specifications, which are generally based on International Specifications and adopted to Indian conditions. The list of IRS Specifications issued by RDSO is available at the website of RDSO (www.rdsso.gov.in). The IRS Specifications can be purchased from RDSO.
- 1.11.3 The Employer's requirements would be spelt out in the bidding document and would be in general conformity to the IRS Specifications.
- 1.11.4 RDSO maintains approved list of suppliers/vendors for various equipment/items/components to be used on Railway systems in India. Bidders shall be free to obtain equipment/items from the suppliers/vendors on approved list of RDSO or any other sources provided the equipment/item meets the technical requirements/acceptance criteria which will be indicated in the Bidding document.
- 1.11.5 The list of suppliers/vendors approved for various items are available at the website of RDSO (www.rdsso.gov.in). Procedures for registration of the new suppliers/vendors for railway equipment/items are also available at the website of RDSO. The bidders are advised to visit the website of RDSO for further information about the registration of new products.

1.12 Project Implementation

- 1.12.1 The Project involves Design of Alignment, Track, Formation, Bridges & Structures including Flyovers/ROB/RUB followed by Construction, Integrated Testing and Commissioning and integration with existing IR System and remedying the defects in the Works during the defect liability period. The indicative parameters, axle load and speed potential of the proposed construction are defined in Para 1.10.1 above.
- 1.12.2 As a part of the Bid Documents, the Pre-qualified Bidders will be provided with Employers Requirements, Concept Design, Performance Specifications and other available indicated field data e.g. (i) Alignment Survey, (ii) Geotechnical (iii) Hydrological Calculations for Discharge/HFL of Bridges.

The field data provided as a part of the Bid Documents by the Employer is based on the investigation carried out by the Employer and is for reference purposes only. The Bidder will have to satisfy himself with the field data furnished and make his own investigations, if required, for submitting his offer. The Bidder shall be deemed to have obtained all necessary information as to risks, contingencies and all other circumstances which may influence or affect his Bid. Costs associated with any change in design or construction methodology later during execution on account of any change will be borne by the Contractor.

1.12.3 The Employer's Requirements/Performance Specifications provided as a part of the Bid Documents, specify the procedural requirements for the preparation of the design of the Permanent and Temporary Works.

1.12.4 The Contractor shall engage the Designer who will undertake and prepare the Design of the Permanent Works and Temporary Works. The principal requirements of the Design Phase are the production of the Preliminary Design, the Definitive Design and the Construction Reference Drawings.

a) The Preliminary Design shall incorporate the Contractor's tender design developed to sufficiently define the main formation, permanent way, bridges including Flyovers/ROB/RUB and other structures. Upon approval by the Engineer, the Contractor shall, proceed to prepare the definitive Designs.

1.12.5 The Definitive Design shall incorporate the Contractor's Technical Proposals and shall be the design developed to the stage at which all elements of permanent way, structures including bridges are fully defined and specified. During the preparation of the Definitive Design, the Contractor shall complete all surveys, investigations and testing necessary to complete the design of the Permanent Works.

1.12.6 Upon issuance of the approval, or a deficiencies list, by the Engineer in respect of the Definitive Design Submission, normally within the period stated in the Contract, the Contractor shall complete the design in all respects and produce the Construction Reference Drawings, the purpose of which is to illustrate all the Permanent Works and to be the drawings governing construction.

The detailed procedure for the design submissions shall be described in the Bidding Document.

1.13 Utilities

1.13.1 The utilities have generally been identified as part of the field data collected by the Employer. However, there is always a possibility of some the unidentified utilities being detected by the Contractor during the course of data collection or during the construction. Chartered utilities will be detailed in the Bid Document, the diversion of which shall be the responsibility of the Contractor. However, the Contractor shall be responsible to remove all the Chartered and unchartered

utilities. Removal of unchartered utilities will be treated as a variation.

1.14 Interfacing with System Contractor

- 1.14.1 The Civil, Structures and Track Works (CST) Contractor(s) appointed through this PQ exercise followed by the Two Stage Bidding process shall be required to interface, coordinate and cooperate with the project wide Electrical Contractors and Signalling & Telecommunication Contractors engaged to execute the Signalling, Telecommunications, Electrification, OHE and SCADA Works in such a way that complete Railway System is commissioned successfully in a time bound manner by interfacing with the respective System Contractors.

1.15 Contract Strategy – Phase 3

- 1.15.1 The work of Signaling, Telecommunication, OHE and other systems would be done through adoption of best International practices with all the required changes to suit Indian circumstances.
- 1.15.2 The CST works for both the single line (175 km) and double line (46 km) as identified above in para 1.7.1 will be done in two Contract Packages of Design & Build Contracts.

1.16 Major Components of the work for Sahnewal-Pilkhani and Dadri-Khurja Sections of Phase - 3

- 1.16.1 The components of the major work for both the Contract Packages are as under:

| Item | Quantity for 301 | Quantity for 302 |
|--|-------------------------|-------------------------|
| Earthwork (cum) | 89,20,000 | 26,24,513 |
| Concreting for minor bridges including minor RUBs (cum)* | 16,250 | 9,100 |
| Concreting for major bridges including major RUBs, RFOs and Important bridges (cum)* | 1,23,900 | 7,350 |
| Important bridges (Nos.)* | 3 | 0 |
| Total Track Length (Kms) | 232 | 100 |
| Rail Flyovers (Nos.) | 3 | 0 |

* As per Indian Railway classification for Bridges:-

- (a) *Important bridges are those having a linear waterway of 300 metres or a total waterway of 1000 Sq.m or more and those classified as important by the Chief Engineer / Chief Bridge Engineer, depending on considerations such as depth of waterway, extent of river training works and maintenance problems.*

- (b) *Major bridges are those which have a total water way of 18 linear metres or more or which has a clear opening of 12 linear metres or more in any one span.*
- (c) *Bridges which do not fall in these classifications are termed as minor bridges.*

2. Construction Period

2.1 Construction & Defect Liability Period

- 2.1.1 The Construction Period of the two Contract Packages shall be 45 months and 36 months for Contract Package 301 and Contract Package 302 respectively. This will be followed by the Defect Liability Period of two years after commissioning of complete Rail system by System Contractor. The Design-Build Contractor shall be required to plan the various components of work in such a sequence that the complete work is commissioned in the required time from the date of award of contract.

3. Other Data

3.1 Hydrology

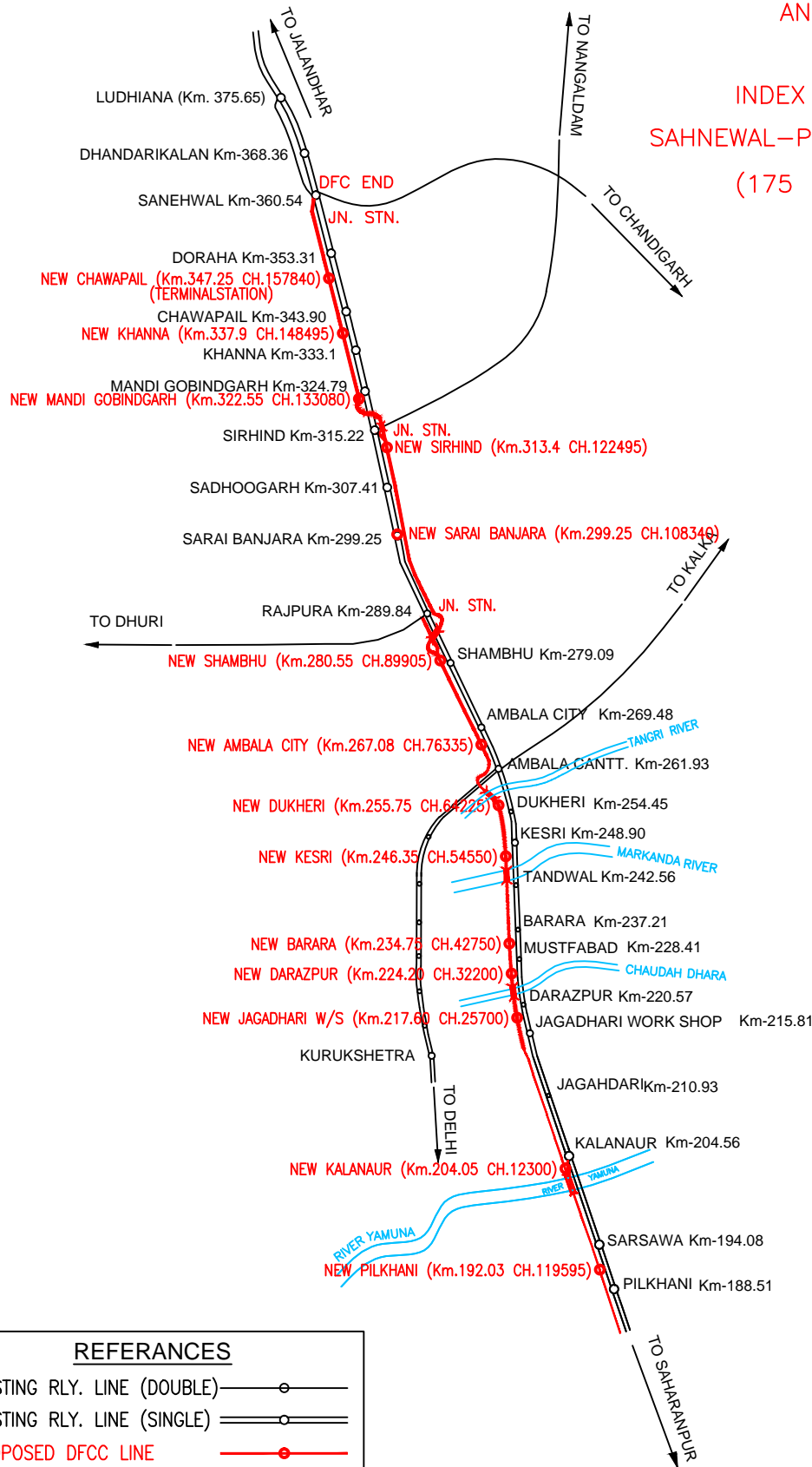
- 3.1.1 The project area is generally flat and is prone to water stagnation during the monsoon. Flooding is generally attributed to the high ground water table and silting of water courses coupled with rainfall intensity and low hydraulic gradients.

3.2 Climate

- 3.2.1 The climate of the project is a Tropical Monsoon Climate marked by three distinct seasons:
 - a) Summer (March-June): Hot & dry with average temperatures of 45°C sometimes reaching 47-48°C with low relative humidity (20%) and dust laden winds.
 - b) Monsoon (June-September): 85% of the average annual rainfall of 990 mm precipitates during this period and temperatures range from 40-45 °C on rainy days.
 - c) Winter (October-February): Cold with temperatures in the range of 3-4°C sometimes dropping below freezing in elevated areas. Foggy conditions can occur in some tracts.

ANNEXURE- I

INDEX PLAN OF SAHNEWAL-PILKHANI SECTION (175 KMs)



REFERENCES

- EXISTING RLY. LINE (DOUBLE) ———○———
- EXISTING RLY. LINE (SINGLE) ———○———
- PROPOSED DFCC LINE ———●———
- RIVERS ————

INDEX PLAN OF KHURJA - DADRI SECTION (46KM)

