

# **Application Document**

for

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Prequalification of Indian Entities for Supply  
of Railway Rolling Stock including  
Locomotives, Coaches and Wagons to  
Mozambique

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**Export-Import Bank of India**  
**Date: August 05, 2019**

## INVITATION FOR PREQUALIFICATION OF INDIAN ENTITIES FOR GOVERNMENT OF INDIA LINE OF CREDIT (LOC) PROJECT

The Export–Import Bank of India [hereafter Exim Bank, or the Bank], on behalf of the Government of India (GOI), extends from time to time, concessional credit facilities under the Indian Development and Economic Assistance Scheme (IDEAS) to overseas governments/ their nominated agencies in developing countries for financing projects involving procurement of goods, civil works, consultancy and non-consultancy services to be contracted to Indian entities.

These Lines of Credit (LOCs) are governed by the Guidelines issued by the GOI from time to time. As per the extant guidelines issued vide letter No.21/3/2015-IDEAS dated December 7, 2015, the Bank is required to carry out a prequalification exercise and provide a list of prequalified bidders to the Borrower for invitation of bids for specific contract packages under the project(s) financed by the LOCs.

In pursuance to the above, the Bank invites Applications from eligible Indian Entities for Prequalification for Supply of Railway Rolling Stock including Locomotives, Coaches and Wagons to Mozambique, financed under Exim Bank’s GOI-supported Line of Credit extended to the Government of Mozambique.

An upfront and non-refundable Processing Fee of INR 25,000 plus applicable GST (presently 18%) is payable through NEFT transfer as per details given below:

[i]	Applicant Name	<Applicant Name>
[ii]	Name of Beneficiary	Export-Import Bank of India
[iii]	Beneficiary’s Bank Name	Export-Import Bank of India
[iv]	Account No.	HO00INR11011004
[v]	IFSC Code	EIBI0HO0001
[vi]	GST Number	27AAACE2769D1ZS

The preparation and submission of Application for prequalification is **required in dual mode (on-line as well as off-line)** in accordance with the provisions of the Application Document.

Completed Applications (off-line) in accordance with the provisions of the Application Document along with NEFT acknowledgement receipt should be delivered physically by 15:00 hours, September 05, 2019 at the following address:

Ms. Amita Dang  
Assistant General Manager  
Export-Import Bank of India,  
Office Block, Tower 1,  
7th Floor, Adjacent Ring Road  
Kidwai Nagar [East]  
New Delhi 110 001  
Email: [eximloc@eximbankindia.in](mailto:eximloc@eximbankindia.in)  
Website: [www.eximbankindia.in](http://www.eximbankindia.in)

This Application Document [AD] consists of the following Parts:

**Part I. Scope of the project**

This Part includes a summary description and other data on this Prequalification process and of the prospective project to be contracted by the Borrower Government / Procuring Entity subsequent to this Prequalification.

**Part II. Instructions to Applicants (ITA)**

This Part provides information to the Applicants in preparing and submitting their applications for Prequalification (“Applications”) and the procedures for this prequalification process.

**Part III. Data Sheet (DS) to ITA**

This Part includes specific provisions that supplement Part II, Instructions to Applicants.

**Part IV. Prequalification Criteria and Requirements**

This Part specifies the criteria and requirements and the procedure to be used to determine how Applicants shall be prequalified.

**Part V. Forms**

This Part includes the Application Submission Form and other forms required to be submitted with the Application.

**Part VI. Questionnaire for Applicants**

This questionnaire requires the prospective Applicants to furnish certain basic information, and confirm certain facts relating to their firm/ joint venture with respect to past performance and prospective engagement.

# **Application Document**

**for**

Prequalification of Indian Entities for  
Supply of Railway Rolling Stock including  
Locomotives, Coaches and Wagons to  
Mozambique

## **Invitation for Prequalification**

No.: GOILOC-301/Mozambique/SS-11

**Issued on: August 05, 2019**

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## **PART I: SCOPE OF SUPPLIES**

The Export-Import Bank of India (Exim Bank or the Bank), on behalf of the Government of India (GOI) has approved financing of a project out of a Line of Credit extended to the Government of Mozambique for procurement of railway rolling stock including locomotives, coaches and wagons to Mozambique. A part of the LOC shall be utilised for Supply of Railway Rolling Stock including Locomotives, Coaches and Wagons to Mozambique for which Exim Bank now seeks applications for Prequalification from eligible Indian entities. Refer Part II ITA 4 for eligibility provisions.

### **A] Scope of Supply**

The project aims to procure i) Lot 1 – 5 Diesel Electric Locomotives, ii) Lot 2 – 90 Passenger Coaches and iii) Lot 3– 300 Freight Wagons as per Government of Mozambique requirements briefly mentioned at para [B]. The Government of Mozambique has developed a strategy to promote their market and economic growth through the upgradation of existing rail and port infrastructure and services. The strategy is to facilitate the easy movement of goods and services so as to maximize the country's domestic economic potential and further integrate the road and rail routes with those of neighbouring countries. The rail system consists of 3,159 km of rail route length which is structured and managed around the 3 major Mozambican corridors [Maputo, Beira and Nacala], which provide access to the nation's 2,470 km Indian Ocean coastline.

Mozambique's rail and port infrastructure is managed by Portos e Caminhos de Ferro de Mocambique, E.P. [CFM] which is one of the first railway and port company in Southern Africa to have introduced private sector participation in railways and ports sectors and one of the big companies in Mozambique. The Beira Rail System in CFM-Centre consists of two lines i.e.(i) The Machipanda line to Zimbabwe and (ii) The Sena line to Moatize. The Sena Line has been rehabilitated and its present capacity is 20 million tons. The priority area is to improve the rail service on the Machipanda rail line which comprises of:

- ✓ Total length: 317 km
- ✓ Single line, Gauge: Cape
- ✓ Axle Load: 16.5 tons [to be upgraded to 18 tons after rehabilitation]
- ✓ Capacity: 1.5m tons [to be upgraded to 3m tons after rehabilitation]
- ✓ Average Trains/day/eachway – 2 [capacity to be 6 trains/day/each way after rehabilitation]
- ✓ Average Transit time from Beira to border – 18 hours [to be reduced to 12 hours after rehabilitation]
- ✓ Maximum speed – 30 kmph [to be increased to 60 kmph after rehabilitation]
- ✓ Rail – 45 kg, UIC 40 kg & ASCE 40 kg (to be replaced by 45 kg rail in whole section after rehabilitation)
- ✓ Sleeper Type – Concrete, steel and wooden [to be fully concrete sleepers after rehabilitation]
- ✓ Sleeper spacing: 0.7 m

The scope also includes a 5-year maintenance contract with the equipment supplier or its nominated agent.

**B) List of items and Technical Specifications**

**List of Items:**

**The project is being executed in three separate Lots.** This common Application Document for Prequalification is applicable for three Lots distinctly. The Applicant may apply through a single Application for any or all the 3 Lots and clearly indicate the Lot(s) applied for in the Application Submission form. Subsequent to prequalification, the Borrower may undertake bidding for the three lots separately.

The Prequalification of the supply contractors shall be done for three Lots. However, it may be noted that the three lots will not necessarily be awarded to the same contractor. The lots are as under:

<b>Lots</b>	<b>Particular</b>	<b>Quantity</b>
<b>1</b>	<b>Locomotives</b>	
	3000 HP Diesel Electric Locomotives	5
<b>2</b>	<b>Passenger Coaches</b>	
	First Class AC 2-Tier Berth Coach	6
	Second Class AC 3-Tier Berth Coach	10
	Second Class AC Sitting Coach	12
	Third Class non-AC General Service Coach	20
	DEMU – Five units of 6 coaches each	30
	AC Restaurant Car	4
	Luggage Van	4
	Power Car	4
	<b>Total</b>	<b>90</b>
	<b>3</b>	<b>Freight Wagons</b>
High Side wagons for bulk commodities		150
Flat wagons for containers		100
Tank wagons for fuel		50
<b>Total</b>		<b>300</b>

**Technical Specification:**

**Lot 1 - 3000HP Diesel Electric Locomotive**

**General Specifications**

**1.1 Diesel Electric Locomotive**

**1.1.1 Operational Requirements & Overall Dimension**

This Specification covers manufacture and supply of a 3000 HP diesel-electric locomotive fitted with two Co-Co bogies, diesel engine and AC/AC transmission suitable for operation on Cape gauge to be delivered fully erected, painted & complete in all respects.

The locomotive shall be designed to conform to the principal dimension and operating requirements specified here under:

1	Gauge	CAPE (1067mm)
2	Service	Mixed
3	Overall moving dimension	The locomotive in empty condition with new wheels and also in full loaded condition with fully worn wheels shall be within the MMD (maximum moving dimension) of CFM
4	Principal Dimensions Length Width Height	20000 mm (approx. over buffer beams) 3050 mm (approx.) 4000 mm (approx.)
5	Sharpest curve to be negotiated	80 Meter
6	Locomotive weight Gross Adhesive Weight	120T+/- 2% Maximum permissible variation in the locomotive gross weight as built shall not exceed +/- 2% of the specified weight.
7	Nominal Axle Load	20T
8	Axle arrangement	Co-Co (Three Axle).
9	Wheel diameter (mm)	1000 mm (new) 924 mm (condemning)
10	Maximum operating Speed Minimum continuous speed	100 km/hour 25 km/hour
11	Tractive Effort Starting Continuous	40,000 Kg (approx.) 26,000 Kg (approx.) at 25KMPH
12	Installed power under standard conditions	3000 HP
13	Power input to traction under site conditions	2700 HP
14	Minimum clearance above Rail level	95 mm



15	Visibility	As per UIC 651
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Height of top of rail up to middle of coupling pump: 973

### 1.1.2 Salient Features

The 3000 HP, Cape Gauge, Diesel-electric locomotive having nominal axle load of 20 t, complete in all respects, shall be assembled with following features:

- a) The maximum output of the engine shall be 3000 HP & 2237 KW.
- b) IGBT based AC-AC traction system.
- c) One Traction alternator with rectifier, automatic voltage regulators, over voltage and over current protection.
- d) Six AC induction traction motors.
- e) Auxiliary alternator shall have 10% excess capacity than the total load.
- f) One complete set of microprocessor control equipment AC-AC System with provision for isolation of individual traction motors.
- g) One set of Dynamic brake equipment capable to dissipate 3000HP energy.
- h) Cooling blower to cool Alternator and Traction Motors.
- i) The Modular Microprocessor controlled air brake system with advance features.
- j) One engine driven water cooled two stage three-cylinder air compressor should be provided.
- k) Two numbers of AAR type E-type coupler with self-alignment control & NC-390 draft gear or any other coupler as per client requirement.
- l) Two number of fabricated, tri-mount Co-Co bogies for cape gauge.

### 1.1.3 Weight

The weight of the locomotive shall be 120 +/- 2%

### 1.1.4 MECHANICAL DESIGN

#### 1.1.4.1 General Arrangement and Equipment Layout

The general Arrangement of the locomotive shall be within dimensions prescribed by Mozambique Railway.

#### 1.1.4.2 Underframe

The underframe shall be of fabricated design.

#### 1.1.4.3 Bogie

The locomotive shall be fitted with three axle's trimount, single stage suspension bogie carrying conventional brake rigging.

#### 1.1.4.4 Drivers Cab

- ❖ The locomotive shall be provided with one full width driving cab at one end, equipped with frontal collision structure to meet requirement of EN 12663.
- ❖ The cab shall be provided with two driver's control desk for driving in both the directions.

- ❖ Left/Right hand drive shall be provided as per customer requirement.
- ❖ Air Conditioned Drivers cabin will be provided.
- ❖ A toilet compartment.
- ❖ A closed wardrobe for clothes and personal belongings shall be provided beside the toilet compartment.

#### **1.1.4.5 Superstructure**

- ❖ The Locomotive shall be manufacture with long hood and short hood arrangements. The sidewalls shall be bolted to the underframe and detachable roof in three pieces shall be provided.
- ❖ The lightweight superstructure design will be implemented on the proposed locomotive.

#### **1.1.4.6 Fuel Tank**

- ❖ A detachable type Fuel Tank of 6000 liter capacity shall be provided.

#### **1.1.4.7 Coupler and Draft Gear**

The locomotive shall be fitted with AAR approved high tensile E-type centre buffer coupler and NC-390 draft gear.

#### **1.1.4.8 Brakes**

- ❖ The locomotive shall be equipped with modular Microprocessor controlled air brake system with advanced features should be provided.
- ❖ Application of any type of break provided on the locomotive shall result in simultaneous engine should come to idle in coordination with loco control micro-processor.
- ❖ VCD feature shall be provided as a part of microprocessor bases loco control system.

#### **1.1.4.9 Compressor**

One engine driven water cooled two stage 3- cylinder air compressor shall be provided.

### **1.1.5 Power Equipment**

#### **1.1.5.1 Diesel Engine**

The locomotive shall be powered by medium speed diesel engine of 3000 HP under standard conditions.

The lubrication oil system, including filters, heat exchangers and pumps of proven designs shall be provided to fulfil the requirement of the engine. Provision shall be made to conveniently fill the oil completely.

#### **1.1.5.2 Air Intake System**

Two stage suitable self-cleaning inertial air filtration at primary stage and fibre filter at secondary stage, are required to prevent dust getting into the engine room.

#### **1.1.5.3 Transmission**

Transmission shall be by means of a directly coupled self-ventilated traction alternator, with mounted rectifier, driving 6 axle hung nose suspended AC induction traction motors through IGBT propulsion system.

Traction alternator shall be provided with auxiliary alternator. The traction motors, Alternator and rectifier shall be forced ventilated.

#### 1.1.5.4 Controls

The locomotive shall be provided with a proven and reliable microprocessor control system consisting of Loco Control Computer, Traction Converter, TFT Display, contactors, relays, cable, etc. with international standards of IEC (60571 & 61287) applicable to Railway applications.

The major function of the Traction control system shall be following.

- Engine Control through Governor
  - Propulsion Control
  - Excitation control of Main Alternator
  - Traction Control
  - Dynamic Braking Control
  - Wheel slip Control
  - Control of Auxiliaries
  - Online Fault Diagnostics
  - Display of operating status, fault in the traction equipment/electronics
  - Communication with Traction Control computers
  - Communication with Air Brake System Microprocessor (CCB)
- ❖ Following shall be the part of scope of supply for the AC-AC Traction Control System.

1.	Traction Converter
2.	Loco Control Computer
3.	Electric Control Cabinet in complete with complete wiring, contactors, relays, battery charging assembly, circuit breakers, electrical protective device, switches
4.	02 Nos. Driver desk each with TFT display, Gauges, switches, Master Controller, Wiring, etc.
5.	Any other items which the suppliers require to be added as per their requirement to meet the functional requirement.
6.	Event recorder system (integral of Loco Control Computer or standalone integrated with LCC meeting the function and test requirement as per standard test procedures)
7.	Complete integration with system and subsystem for propulsion control, engine control, brake control and creep control etc.
8.	Multi setting vigilance Control
9.	Event recording

- ❖ The following safety devices shall be provided:

- a) Water temperature too high- Transmission cut-off and engine returned to idle.
- b) Low water in expansion tank – Engine shut down.
- c) Low lube oil pressure – Engine shut down.
- d) Engine speed too high (Over speed trip) - Engine shut down.
- e) Adequate protection of an approved design shall be provided against electrical overloads and grounding.

❖ The following minimum operating controls for multiple unit operation of locomotives from any one locomotive shall be provided:

- a) Notch control
- b) Brake
- c) Forward and reverse movement control
- d) Sanding
- e) Wheel Slip

Safety interlock shall be provided to prevent locomotives in multiple unit operation from being moved when all the locomotives are not set for propulsion in the same direction.

❖ One dry powder ABC type fire extinguisher of 5 Kg capacity approximately of well-known make shall be provided in driver cab and two 5 Kg fire extinguisher shall be provided in engine room.

#### **1.1.5.5 Cables**

Electron-beam irradiation cross-linked type Power and Control cables of Ethylene propylene rubber insulation, resistant to oil, acids, alkalis and heat flames, and of standard metric sizes shall be provided conforming to prevalent standards of railway rolling stocks.

### **1.1.6 ELECTRICAL EQUIPMENT**

#### **TRACTION ALTERNATOR- RECTIFIER WITH COMPANION ALTERNATOR**

##### **1.1.6.1 Traction Alternator Data:**

Make and type	:	Traction Alternator of standard make
No. per loco	:	One
Nominal Horse power	:	3000hp
Output	:	Rectified Output through Static Rectifiers

Traction Alternator provides rectified current to the IGBT Traction System.

##### **1.1.6.2 Traction Motors**

Traction motor data -

**Type** : AC, 8 pole, Y-connected, nose suspended, squirrel cage asynchronous 3-ph. AC traction motor, forced ventilated with class 200 insulation and VPI treated (Vacuum Pressure impregnation)

**Number per loco** : Six

#### **1.1.6.3 Radiator cooling Fan:**

Type : 54 inch Two speed, Contractor drive AC motor fans  
Number per Loco : 2

#### **1.1.6.4 Loco performance and Electrical Characteristics**

- a) Wheel diameter : 1000mm (new) 924 (condemning)
- b) Continuous speed : 25 km/h with 26.028kg TE
- c) Maximum operating speed : 100 kmph

#### **1.1.6.5 Storage Battery**

Alkaline ( Ni-CD) accumulators of sufficient capacity shall be provided and be capable of giving 10 starts of 6 seconds duration with 20% discharging of batteries.

#### **1.1.6.6 Dynamic Braking Grids**

Complete assembly of dynamic braking capable to dissipate 3000 HP energy grids along with fan shall be provided with braking effort 180-210 KN.

#### **1.1.7 Painting**

Epoxy cum PU (polyurethane) painting system (two pack) for exterior painting of coaches will be done. The color scheme of all type of coaches shall be as per CFM Mozambique. The Paints shall be of an accepted chemical formula suitable for coaches used in hot, humid, rainy and salty atmosphere prevailing in Mozambique. The approvals of CFM must be obtained by the supplier, prior to the painting of coaches, with regard to the formula of the paints, applying method, the color scheme and nameplates and indicator symbols.

Top coat and varnish should have good resistance against Ultra Violet radiation and should guarantee up to 5 years for non-fading and absence of surface crack. Painting should be able to carry out on accidental repairs. The detail of the material shall be forwarded with the offer.

#### **1.1.8 Design Speed**

Design speed of the locomotive shall be 100km/hr.

## **Lot 2 - Passenger Coaches**

### **1. General Specifications**

#### **1.1 The Coach**

##### **1.1.1 Major Dimension**

The Overall maximum moving dimensions with new wheels in empty condition as well as coaches with fully worn wheels and in loaded condition shall be within the dimensions show in below:

Gauge (mm)	1,067
Minimum Radius of Curvature (m)	80
Length over body (mm)	19,840
Length over CBC (mm)	20,300
Height of the coach from rail level (mm)	3,955
Wheel Base (mm)	2,150
Maximum width over body (mm)	2,950
Distance between center pivots (mm)	14,000
Height of compartment floor from rail level under tare condition (mm)	1,108
Maximum height of center line of CBC above rail level for empty vehicle (mm)	893
Wheel diameter (New)(mm)	865 to 860
Wheel diameter (Worn) (mm)	800 to 790
Higher speed potential (KMPH)	100
Coupler	AAR "H" Type
Suspension	Coil Spring-Nested
Bearing	Taper roller Bearings
Brake System	Twin pipe compressed air brake system, BMBC Type
Brake Efficiency	100% of tare
Train Lighting	24/110V
Power Source	End-on-generation
Battery	As Required
Tare Weight (MT)	Varies depending upon coach type

##### **1.1.2 Passenger Capacity**

Approximate number of passenger seats required in various types of carriages is as follow:

<b>Type of Carriage</b>		<b>No. of Seats</b>
1	First Class AC 2-Tier Berth Coach	30
2	Second Class AC 3-Tier Berth Coach	48
3	Second Class AC Sitting Coach	64

4	Third Class non-AC General Service Coach (Day Coach)	80
5	DEMU – Five units of 6 coaches each	64 each
6	AC Restaurant Car	30
7	Luggage Van	06
8	Power Car	NA

The coaches shall be designed to withstand the overloading condition with [300] passengers (20 Tons).

The foot boards and external handrails shall be strong enough to withstand the load of overhanging passengers (1Ton), in a possible worst scenario of overloading.

### 1.1.3. Weight

The weight of a coach shall be less than 35 Tons.

### 1.1.4. Carriage Body Design and Construction

- ❖ **Body Construction:** Coach to be light- weight construction made from low corrosive stainless steel and under frame of Corten steel, with modern interior design.
- ❖ **Car Body Shell:** The car body shell to be of economical weight steel construction with interlocking technique. Roof is to be of beaded sheet construction and floor sheet to be corrugated made of austenitic stainless steel. Roof structure, sidewall and End walls are to be made of ferrite stainless steel. Corten steel has to be used for under frame and other parts.
- ❖ **Under Frame:** The under frame will be pre-dominantly all structure member fabricated of Corten steel, lightweight, welded construction consisting of sole bars and cross bearers connected by a headstock on each end.
- ❖ **Coach Body Design:** The coach body shall be designed according to UIC Specification or according to an International Standard Specification, equivalent to UIC Specification and shall conform to lightweight, all metal welded, integral structure.
- ❖ **Anti-telescopic properties:** The coach body shall be designed and constructed suitable to provide anti-telescopic properties and structural strength to withstand impacts of moderate collisions. The car body strength shall be as per UIC Specification or according to an International regulation/specification equivalent to UIC.

### 1.1.5. Coach Body Design and Construction

The general guidelines are stated below:

- ❖ Bogie shall be of a modern design and suitable for running at 100 KMPH minimum (It shall require minimum maintenance in day to day service and give high percentage of availability).
- ❖ In case of welded bogies, these shall be subjected to total structure stress relieving.

- ❖ The design shall incorporate two stage vertical suspension and a suitable lateral suspension. Both for vertical and lateral suspensions adequate damping shall be provided.
- ❖ The design features incorporated in coach and bogie for transmission of tractive and braking forces shall achieve minimum of shuttle and lurch in operation at all speeds.
- ❖ The bogie design shall provide an adequately controlled dynamic guidance of the coach with bogie axles maintaining parallelism and bogie/coach nosing and translatory oscillations regulated for safe and comfortable ride and minimum wheel wear.
- ❖ The bogie design and construction details shall provide for free interchange ability of bogie as well as their components.

#### **1.1.6. Material**

- ❖ Standard specification: Material and Components will have to conform to UIC or other proven widely used standards.
- ❖ Guidelines on materials and process control: Special materials, suitable for manufacture of welded structures of coaches of adequate strength and to conform to the maximum moving dimension notified to purchaser, shall be used. The car body shell to be of economical weight steel construction with Interlocking technique. Roof is to be of beaded sheet construction Roof sheet and trough floor sheet to be made of austenitic stainless steel. Roof structure, sidewall and end wall are to be made of ferrite stainless steel. Corten steel has to be used for under frame and other parts.
- ❖ **Process Control:**
  - All steel members which are welded, bolted or riveted together shall be in full contact with corresponding members such as body side, roof and panels.
  - All surfaces shall be thoroughly cleaned dried and in case of steel, de-rusted and treated with suitable anti-corrosive inhibitors and paints before assembly.
  - All Common parts in various types of coach on order shall be manufactured with such accuracy that these are fully and freely interchangeable with each other. With this objects sections of materials and plates for manufacture of components and equipping the coaches shall be approved by purchaser or inspecting officer.
  - Notwithstanding approvals given by purchaser or inspecting officer, contractor shall be entirely responsible for any failures or defects in coaches. Likewise, he shall be responsible for supplies from his sub-contractors.
- ❖ **Markings:** Markings on materials and furnished items shall be stamped, rolled or moulded on.
- ❖ **Forging and Castings:** The more important finished articles such as buffer components, couplings etc. shall be marked as follow: Components shall be marked with maker's name or initials, year of manufacture and part number.



- ❖ **Roller Bearing Axle Boxes:** Maker's name or initials and manufactures shall be legibly marked on the side of the axles boxes in suitable manner as approved by the inspecting officer. On the face plate, besides initials of the maker's type and make of roller bearing shall be clearly marked so as to be easily visible to identify the make of roller bearing used.
- ❖ **Helical Springs:** Every spring shall be stamped when hot as follows: Standard spring shall be marked with maker's name or initials, year of manufacture and part number.

#### **1.1.7. Braking**

Twin pipe compressed air brake system (BMBC Type) with clasp brakes.

#### **1.1.8. Coupling Gear: Centre Buffer Coupler:**

Coaches are to be provided with AAR type "H" tight lock centre buffer couplers (CBC). They can be coupled with AAR type "E" centre buffer couples fitted on locomotives.

#### **1.1.9. Electronic Destination Boards:**

The Electronic destination board shall be provided on either side on the exterior of coach located centrally along its length.

#### **1.1.10. Public Address System:**

Suitable and proven public addressed system shall be installed in each AC and Non AC carriages to be operated from a nominated room preferably in the guard Brake Van.

#### **1.1.11. Painting and Lettering of Coaches**

Epoxy cum PU (polyurethane) painting system (two packs) for exterior painting of coaches will be done. The colour scheme of all types of coaches shall be as per CFM Mozambique. The paints shall be of an accepted chemical formula suitable for coaches used in hot, humid, rainy and salty atmosphere prevailing in Mozambique. The approvals of CFM must be obtained by the supplier, prior to the painting of coaches, with regard to the formula of the paints, applying method, the colour scheme and nameplates and indicator symbols.

Top coat and vanish should have good resistance against Ultra Violet radiation and should guarantee up to 5 years for non-fading and absence of surface cracks. Painting should be able to carry out on accidental repairs. The details of the material shall be forwarded with the offer.

#### **1.1.12. Design Speed**

Design speed of the coaches shall be 100km/hr.

#### **1.1.13. Re-railing and lifting**

The coach body design shall be suitable for lifting by jacking underneath the centercoupler during re-railing. Also four places for lifting the entire body off from the bogie by the overhead cranes and by jacks at the workshops shall be provided. All those lifting points shall be painted in yellow for easy identification.

#### **1.1.14. DEMU**

The 1800 HP AC- AC Traction Train set of 6 coaches is a Self-propelled Diesel Multiple Unit Train set with rapid acceleration and has best-in-class passenger amenities. It will offer both comfort and speed to passengers, as a part of the next level of the travel experience.

Features:

- Powered with 1800hp on board engine on each DPC with IGBT based 3- phase electric transmission system, which is latest of its genre and requires least maintenance.
- DEMU train set consists of 6 coach configuration.
- The Driving ends have Aero-dynamic Nose cones to reduce Air Drag and for improved aesthetics.
- Exterior Fairings for the inter coach gangway for enhanced dust & noise control.
- Air conditional Chair Car will have 360° rotating seats to align in direction of travel.
- Modular Toilets with air assisted flushing system (also for differently able).
- Aluminium Extruded with Glass Bottom Modular Luggage rack.
- On-board Infotainment system with GPS based passenger information system.
- Maximum Speed 100kmph.
- Air Conditioned Driver's and Guards Cab, with crew toilet.
- Air Brake system and Dynamic Braking feature.

## **Lot 3 - Freight Wagons**

### **1. General Specifications**

#### **1.1 Wagons**

##### **1.1.1 Operational Requirements & Overall Dimensions**

###### **High side gondola type wagon**

The wagon underframe will be constructed out of S355 AR + JR material and corrosive resistant material for section that will be in contact with the commodity.

###### **Principal Wagon Parameters**

<b>Item</b>	<b>Description</b>
Max load on rail	80t
Estimated tare mass	18t
Estimated Payload: Fertilizer	60t
Estimated Payload: Manganese Ore	62t
Estimated Payload: Cereals	60t
Estimated Payload: Iron ore	62t
Estimated Payload: Sugar	62t
Estimated Payload: Coal	63t (Density 85 kg/m3)
Estimated Payload: Chrome	62t
Wagon length over couplers	13.20 mm
Max wagon width	3020 mm
Height from floor to top coping	2100 mm
Gauge	1067 mm
Axle load	20t
Coupler height	889 $\pm$ 6mm
Distance between bogie centers	9000 mm
Volume	70.9 m3
Wheel diameter (new)	864 mm
Safe operating speed	80 km/h

Max critical design speed	120km/h
Minimum negotiable curve radius	80m
Bogie type	Self-steering(H MK VII)
Bearing size	D-type
Brake system	Air
Draw gear	AAR compliant
Coupler & Yoke	E type
Vehicle gauge	BE 97-02

### Container Wagons

<b>Item</b>	<b>Description</b>
Max load on rail	80T
Tare mass	15.8t
Payload	61t
Wagon length over couplers	13168 mm
Max wagon width	2496 mm
Gauge	1067 mm
Axle load	20T
Coupler height	895 ± 6mm
Distance between bogie centres	9290 mm
Wheel diameter (new/worn)	863 mm
Safe operating speed	80km/h
Max critical design speed	120km/h
Min negotiable curve radii	80m
Bogie type	Self-Steering(HS MK VII)
Bearing size	D-type
Brake system	Air Brake System
Draw gear	AAR compliant
Coupler & Yoke	E-type

### Tank Wagons

<b>Item</b>	<b>Description</b>
Wagons length over couplers	14.141mm
Max wagon width	2.540 mm
Length of platform	13.259 mm
Height from floor to top coping	3.250 mm
Distance between centres of pivots	9.754mm
Gauge	1067 mm
Axle load	20t
Coupler height	889 <sub>±</sub> 6mm
Distance between bogie centres	1,752.5mm
Volume	50.00 m <sup>3</sup>
Tare	According Supply
Reference height	According Supply
Working height	According Supply
Working Volume	According Supply
Maximum liquid height	According Supply
Wheel diameter(new)	864 mm
Safe operating speed	80km/h
Minimum negotiable curve radius	80m
Bogie type	Self-Steering (HS MK VII)
Bearing size	D-type
Brake system	Air
Draw gear	AAR compliant
Coupler & Yoke	E type

#### **1.1.2 Design Speed**

Design speed of the wagons shall be 100km/hr.

**C] Project Authority**

Portos e Caminhos de Ferro de Mocambique, E.P. [CFM] is the Project Authority.

**D] Contract Period**

The duration of each lot is expected as under:

Lot 1 – Twelve (12) months

Lot 2 – Twelve (12) months

Lot 3 – Twelve (12) months

**E] GOI Guidelines**

As per the GOI guidelines, goods, works and services for minimum 75% value of the contracts covered under these Lines of Credit, must be sourced from India. Applicants are advised to refer to the GOI guidelines mentioned above which are also available at <http://www.eximbankindia.in/assets/pdf/loc/GOI-Guidelines-on-LOC.pdf>

## Part II. Instructions to Applicants [ITA]

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## Part II. Instructions to Applicants (ITA)

### A. General

- 1. Background**
  - 1.1 The Export-Import Bank of India (hereinafter called “the Bank”), on behalf of the Government of India (GOI), extends from time to time, concessional credit facilities (hereinafter called “Lines of Credit”) under the Indian Development and Economic Assistance Scheme (IDEAS) to overseas governments or their nominated agencies (hereinafter called “Borrower or Purchaser/Project Employer”), for financing projects to be executed by Indian entities. Payment by the Bank to the Indian exporters 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 credit (or financing) agreement.
  
- 2. Scope of Prequalification**
  - 2.1 With reference to the Invitation for Prequalification (IFP) indicated in Part III, Data Sheet (DS), this Application Document (“Application Document”) is being issued by the Bank to prospective applicants (“Applicants”) interested in submitting applications (“Applications”) for prequalification as per the scope described in Part I, I Scope of the project and subject to the provisions of this Application Document.
  
- 3. Ethics and Integrity**
  - 3.1 The Bank requires Applicants to participate in this prequalification process with the highest standards of ethics and integrity. It is strictly forbidden to the parties involved in the prequalification process, by themselves or by a third party, to offer, ask or accept for itself or for a third party, financial or non-financial advantage or even direct or indirect promise or any acts<sup>1</sup>, as offsets for prequalification or bidding or contract award and execution as applicable, if susceptible of being qualified as criminal unlawful acts in accordance with national laws of any party involved.
  - 3.2 In pursuance of ITA 3.1 above, Applicants shall permit the Bank to inspect all accounts, records and other documents relating to the submission of the Application, bid submission (in case prequalified), and contract performance (in the case of award), and to have them audited by auditors appointed by the Bank.
  - 3.3 If, in accordance with the administrative procedures of the Bank, it is demonstrated that an Applicant in this prequalification process, or during the subsequent bidding for the contract(s) has

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<sup>1</sup>These acts shall include, but not limited to, corrupt practice, fraudulent practice, collusive practice, coercive practice, obstructive practice and conflict of interest.

- violated the provisions stated in ITA 3.1 above, the Bank, inter alia
- a. Shall reject any Application for prequalification or proposal to award a contract in connection with the subsequent procurement process, as applicable; and/ or
  - b. May declare an Applicant, temporarily or permanently, ineligible to be awarded future contracts under Bank funding.

#### **4. Eligibility of Applicants**

- 4.1 This prequalification exercise is open to only Indian Applicants in accordance with the provisions of ITA 4.4. Any form of association by the Applicant with ineligible entities either during this prequalification process or subsequent bidding process may be liable for rejection.
- 4.2 For the purpose of applying the eligibility criteria listed in this article 4, "Applicant" would include the single entity or in case of a joint venture ("JV"), each member of the JV, involved or intended to be involved with this prequalification process (as mentioned in Form A.1.2 Applicant's/ JV Member's Information Form), for any part of the prospective contract(s) including related services.
- 4.3 An Applicant may be a single entity or a combination of entities in the form of a JV either existing or with the intent to enter into a JV supported by a letter of intent or JV Agreement listing out the names of all the JV members. In the case of a JV, all members shall be jointly and severally liable for the execution of the subsequent contract(s) in accordance with the respective contract terms. The JV shall be represented by an authorized representative who shall have the authority from all members of the JV so as to conduct all business for and on behalf of the JV during the prequalification process. The limit on the number of members in a JV would be as specified in the **DS**.
- 4.4 This prequalification exercise is open to only Indian Applicants. An Applicant shall be deemed to be Indian if the Applicant is constituted, incorporated or registered in, and operates in accordance with the provisions of the laws of India, as evidenced by its articles of incorporation and its registration documents, as the case may be.
- 4.5 An Applicant that has been blacklisted/debarred/ sanctioned by any Multilateral Development Agencies (MDA) or any authority in India or the borrowing country in accordance with extant rules and procedures, shall be ineligible to participate in the prequalification/bidding process as applicable, during such period of time as the sanctioning authority shall have determined. In case the Applicant is blacklisted/ debarred/sanctioned post the

prequalification process (i.e. including during bidding process and Project implementation phase), the Applicant shall immediately inform Exim Bank of such blacklisting/ debarment/sanction and reasons thereof. This may lead to cancellation of prequalification / contract.

- 4.6 The list of debarred firms and individuals by certain leading MDAs is available as specified in the **DS**. This may not be an exhaustive list of debarred entities but those which are made available centrally on the respective MDA's website. Additionally, there could be lists of debarred entities issued by various government departments/ procuring entities/ corporations and maintained offline.
- 4.7 An Applicant shall be ineligible to be prequalified if it is currently under default on any loan to any Bank/ Financial Institution (FI) as per Central Repository of Information on Large Credits (CRILC) database and its account has been classified as Non-Performing Asset (NPA) with any Bank/FI or their companies/ promoters/ directors appear in Reserve Bank of India (RBI) Caution List, RBI Wilful Defaulter List (Suit filed as well as non-suit filed), Credit Information Bureau India Ltd. (CIBIL) Defaulter List or any other negative list of central and state government agencies, updated from time to time. On being included in any of the above lists post the prequalification process (i.e. including during bidding process and Project implementation phase), the Applicant shall immediately inform Exim Bank on the inclusion and reasons for inclusion thereof. This may lead to cancellation of prequalification / contract.
- 4.8 An Applicant shall furnish such evidence of eligibility satisfactory to the Bank, as the Bank shall reasonably request.

## **B. Composition of the Application Document**

### **5. Contents of this Document**

- 5.1 This Application Document consists of the Parts indicated below, and which should be read in conjunction with any Corrigendum issued in accordance with ITA 7.
- Part I. Scope of Supply
  - Part II. Instructions to Applicants (ITA)
  - Part III. Data Sheet (DS) to ITA
  - Part IV. Prequalification Criteria and Requirements
  - Part V. Forms
  - Part VI. Questionnaire for Applicants
- 5.2 Unless obtained directly from the Bank, the Bank shall not be

responsible for the completeness of the document, responses to requests for clarification, or Addenda to the Application Document in accordance with ITA 7. In case of any discrepancies, documents issued directly by the Bank shall prevail.

5.3 An Applicant is expected to study all instructions, and forms in the Application Document and to furnish with its Application all information or documentation as is required by the Application Document.

## **6. Clarifications**

6.1 A prospective Applicant requiring any clarification of the Application Document shall contact the Bank in writing at the Bank's address indicated in the **DS**. The Bank 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 Bank's response, at its discretion, may be put up on its website and shall include a description of the inquiry (without identifying its source) and corresponding clarification. As a result of a clarification the Bank may, if necessary, amend the Application Document in accordance with the provisions of ITA 7.

6.2 Any modification to the Application Document that may become necessary as a result of the clarifications to the queries shall be made by the Bank exclusively through the use of a Corrigendum pursuant to ITA 7.

## **7. Corrigendum of Application Document**

7.1 At any time prior to the deadline for submission of Applications, the Bank may amend the Application Document by issuing a Corrigendum.

7.2 Any Corrigendum or Addenda issued shall be deemed to be part of the Application Document and shall be published on the Bank's website.

7.3 Post Corrigendum, in order to allow sufficient time to the prospective Applicants in preparing their Applications, or for other good reason, the Bank may, at its discretion, extend the deadline for the submission of Applications in accordance with ITA 16.2.

## **C. Preparation, Submission and Opening of Applications**

### **8. Cost towards Application**

8.1 The Applicant shall bear all costs associated with the preparation and submission of its Application. The Bank will in no case be responsible or liable for those costs, regardless of the conduct or outcome of the prequalification process.

- 9. Language**
- 9.1 The Application documentation and printed literature that are part of the Application, if in another language, shall be accompanied by an accurate translation of the relevant passages in English language, which shall be the governing language.
- 10. Documents constituting the Application**
- 10.1 The Application shall comprise the following:
- (a) Application Submission Form, in accordance with ITA 11.1;
  - (b) documentary evidence establishing the Applicant's eligibility, in accordance with ITA 12.1;
  - (c) documentary evidence establishing the Applicant's qualifications, in accordance with ITA 13; and
  - (d) any other document required as specified in the **DS**.
- 11. Application Submission Form**
- 11.1 The Applicant shall complete an Application Submission Form as provided in Part V (Forms). This Form must be completed without any alteration to its format.
- 12. Documents Evidencing the Applicant's Eligibility**
- 12.1 To establish its eligibility in accordance with ITA 4, the Applicant shall complete the eligibility declarations in the Application Submission Form and Forms A.1.1 and A.1.2, included in Part V (Forms).
- 13. Documents Evidencing the Applicant's Qualifications**
- 13.1 To establish its qualifications in accordance with Part IV, Prequalification Criteria and Requirements, the Applicant shall provide the information requested in the corresponding Forms included in Part V without any alteration to the format. Applicant shall also complete the Questionnaire included in Part VI without any alteration to the questions. Each Form included in Part V and the Questionnaire in Part VI shall be duly signed by the authorized representative of the Applicant. In case of JV, authorized representative of the respective member shall sign. Non-compliance with this clause may result in summary rejection of the Application.
- 13.2 If an Applicant does not manufacture or produce the goods it offers to supply, it shall submit documentation related to Manufacturer's Authorisation as specified in the **DS**.
- 13.3 Wherever a monetary amount is to be stated, Applicant should indicate the USD equivalent using the rate of exchange determined as follows:
- (a) Exchange rates shall be taken from the publicly available source identified in the **DS**. Any error in determining the exchange rates in the Application may be corrected by the Bank during evaluation.

- (b) For data related to financial statements, the amounts shall be mentioned in Indian Rupees (INR). Equivalent amount in USD shall be arrived at using the exchange rate as on 31<sup>st</sup> March of respective financial year as specified in the **DS**.
- (c) for data related to contracts signed in the current financial year, unless otherwise specified in the **DS**, the exchange rate prevalent as on the working day preceding the date of Invitation for Prequalification (IFP) shall be used to arrive at the USD equivalent as specified in the **DS**; and
- (d) for contracts signed prior to the current financial year, the exchange rate as on 31<sup>st</sup> March of the respective financial year in which the contract was signed shall be used to arrive at the USD equivalent as specified in the **DS**.

**14. Authorized Signatory and Number of Copies**

- 14.1 The Applicant shall prepare one original of the documents comprising the Application as described in ITA 10 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 all members of the JV.

**15. Preparing the Application Envelope**

- 15.1 The Applicant shall enclose the original Application in a sealed envelope that shall:
- (a) be addressed to the Bank, as per ITA 16.1;
  - (b) mention the name and address of the Applicant; and
  - (c) mention the specific identification of this prequalification process indicated in the **DS** ITA 2.1.
- 15.2 The Bank will accept no responsibility for not processing any envelope that was not prepared as required in ITA 15.1 above.

**16. Application Submission Deadline**

- 16.1 Applicants must submit their Applications in dual mode (on-line as well as off-line). Applications shall be received by the Bank at the address and no later than the deadline indicated in the **DS**.
- 16.2 The Bank may, at its discretion, extend the deadline for the submission of Applications by amending the Application Document in accordance with ITA 7.

**17. Late Applications**

- 17.1 Applications received after the deadline for submission of applications shall not be admissible, and if received, shall be returned unopened to the Applicant.

**18. Opening of Applications**

- 18.1 The Bank shall open all Applications at the date, time and place specified in the **DS**. Applicants' representatives may be present during opening.

## **D. Procedures for Evaluation of Applications**

### **19. Evaluation to be Confidential**

19.1 Information relating to the Applications, their evaluation and result shall be confidential and will not be disclosed to Applicants or any other person(s) not officially concerned with the prequalification process until the official notification of prequalification results is made in accordance with ITA 25.

19.2 From the deadline for submission of Applications to the time of notification of the results of the prequalification in accordance with ITA 25, any Applicant who wishes to contact the Bank on any matter related to the prequalification process (except as specified in ITA 20.1 below), may do so only in writing. Canvassing in any form will be grounds for disqualification.

### **20. Clarifications during Evaluation**

20.1 During the evaluation of Applications, in case of ambiguity, the Bank may, at its discretion, ask an Applicant for a clarification of its Application, to be submitted within a stated reasonable period of time. Any request for clarification from the Bank and all clarifications from the Applicant shall be in writing. Any clarification submitted by an Applicant that is not in response to a request by the Bank may not be considered.

20.2 If an Applicant does not provide (within the time allowed) clarifications and/or documents requested as per the Bank's request for clarification, its Application shall be evaluated based on the information and documents available at the time of evaluation of the Application.

### **21. Determination of Responsiveness of Applications**

21.1 The Bank may reject any Application which is not responsive to the requirements of the Application Document and may not subsequently be made responsive by correction of the causes of non-responsiveness or by substitution or resubmission of the Application or part thereof.

## **E. Evaluation of Applications and Prequalification of Applicants**

### **22. Evaluation of Applications**

22.1 The Bank shall use the criteria and requirements defined in Part IV, Prequalification Criteria and Requirements, to evaluate the qualifications of the Applicants, and no other methods, criteria, or requirements shall be used. The Bank reserves the right to waive minor deviations from the prequalification criteria if they do not materially affect the technical capability and financial resources of an Applicant to perform the contract.

22.2 The qualification and experience of sub-contractors(s), if any, proposed by the Applicant will not be considered for evaluation

of the Application.

22.3 Only the qualifications of the Applicant, in the capacity as prime contractor/ member of JV to the purchaser /project employer, shall be considered. In particular, the qualifications of a parent or subsidiary or any other affiliated company of the Applicant, who is not member of the JV except as permitted by ITA 4.3 shall not be considered.

22.4 The qualification and experience of the Applicant for execution of contracts in-house or for a parent/ promoter/ group concerns or for Special Purpose Vehicles (SPVs), set up by the Applicant or its group companies, shall not be considered.

**23. Bank's Right to Accept or Reject Applications**

23.1 The Bank 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.

**24. Prequalification of Applicants**

24.1 All Applicants, whose Applications substantially meet or exceed the specified qualification requirements, will be prequalified by the Bank.

**25. Notification of Prequalification**

25.1 The Bank shall notify the result of the prequalification process through a letter to the prequalified Applicants and to the applicants not meeting the prequalification criteria.

25.2 Applicants that have not been prequalified may write to the Bank no later than 7 calendar days after the date of intimation by the Bank, of the result of prequalification, to request clarifications regarding the grounds on which they were not prequalified.

**26. Subsequent Invitation for Bids**

26.1 The Bank shall forward the list of prequalified firms to the Borrower for subsequent invitation of bids.



<b><u>Part III. Data Sheet (DS) to ITA</u></b>	
<b>A. General</b>	
<b>ITA 2.1</b>	<p>The identification of the Invitation for Prequalification [IFP] is:  <b>GOILOC-301/Mozambique/SS-11</b></p> <p>The Bank's address is:  Export-Import Bank of India,  Office Block, Tower 1  7<sup>th</sup> Floor, Adjacent Ring Road  Kidwai Nagar [East]  New Delhi 110 023  Tel: +91 11-2347 4829/2347 4800  Email: <a href="mailto:eximloc@eximbankindia.in">eximloc@eximbankindia.in</a>  Website: <a href="http://www.eximbankindia.in">www.eximbankindia.in</a></p>
<b>ITA 4.3</b>	<p><b>Applications from Joint Venture or a Consortium, or an Association (JVCA), either incorporated or unincorporated, shall not be considered for the Prequalification.</b></p>
<b>ITA 4.6</b>	<p>A list of debarred firms and individuals by:  the World Bank is available on the website:  <a href="http://www.worldbank.org/debarr">http://www.worldbank.org/debarr</a></p> <p>the Asian Development Bank is available on the website:  <a href="http://lnadbg4.adb.org/oga0009p.nsf/sancALLPublic?OpenView&amp;count=999">http://lnadbg4.adb.org/oga0009p.nsf/sancALLPublic?OpenView&amp;count=999</a></p> <p>the African Development Bank is available on the website:  <a href="http://www.afdb.org/en/projects-and-operations/procurement/debarment-and-sanctions-procedures/">http://www.afdb.org/en/projects-and-operations/procurement/debarment-and-sanctions-procedures/</a></p> <p>the European Bank for Reconstruction and Development is available on the website: <a href="http://www.ebrd.com/pages/about/integrity/list.shtml">http://www.ebrd.com/pages/about/integrity/list.shtml</a></p> <p>the Inter-American Development Bank is available on the website:  <a href="http://www.iadb.org/en/topics/transparency/integrity-at-the-idb-group/sanctioned-firms-and-individuals,1293.html">http://www.iadb.org/en/topics/transparency/integrity-at-the-idb-group/sanctioned-firms-and-individuals,1293.html</a></p>
<b>B. Contents of the Application Document</b>	
<b>ITA 6.1</b>	<p>For <b>clarification purposes</b>, the Bank's address is:  Ms. Amita Dang  Assistant General Manager  Export-Import Bank of India  Office Block, Tower 1  7<sup>th</sup> Floor, Adjacent Ring Road  Kidwai Nagar [East]  New Delhi -110023  Email: <a href="mailto:eximloc@eximbankindia.in">eximloc@eximbankindia.in</a></p>

<b>C. Preparation, Submission &amp; Opening of Applications</b>	
<b>ITA 10.1 (d)</b>	<p>The preparation and submission of Application Form will be in dual mode (on-line as well as off-line).</p> <p><b>i) <u>On-line mode of Application</u></b> The applicant shall submit the application through Exim Bank's portal <a href="https://locprocure.eximbankindia.in">https://locprocure.eximbankindia.in</a></p> <p>For details for submitting Online Application, please refer the above portal.</p> <p><b><u>Minimum Requirements:</u></b></p> <ol style="list-style-type: none"><li>1. Computer/Laptop with Internet connection.</li><li>2. Operating System: Windows Version: Windows 7/8/10 – 32 or 64 Bit.</li><li>3. Java Version: 1.8 or above</li><li>4. Mozilla version should be 45.0 and above(x86 only i.e OS of 32 Bit Version)</li><li>5. Digital Certificate: Class III, Signing + Encryption and it should be organizational certificate.</li></ol>

	<p><b><u>For any Online technical clarification, kindly contact:</u></b></p> <p>Bob EProcure Pvt. Ltd.  3 / 4, 3<sup>rd</sup> Floor, Maruthi Towers, Madivala, SBM, Bangalore  Karnataka – 560069  Contact Person: Ms. Alka Pillai  Mob: +91-9148982205  +91-9148998467  Email: pqsupport@bobeprocure.net</p> <p><b>ii) <u>Off-line mode of Application</u></b>  The applicant shall forward a hard copy of its application along with a covering letter clearly indicating the name of the project and the Prequalification Reference No.</p> <p>The Applicant shall submit with its application, the following additional documents as attachment to the Application Submission Form:</p> <p>The Applicant shall submit a copy (self-attested on all pages) of Power of Attorney in favour of the person who has been authorized, through an appropriate Company Board Resolution or equivalent document, to sign on behalf of the Applicant. Copy (self-attested) of such relevant company Board Resolution or equivalent document should also be attached.</p> <p><b><u>Note: It is mandatory for Applicants to submit the Application in both On-line and Off-line modes. Any Application not submitted in accordance with the requirements mentioned in this clause will be liable for rejection. In the event of any discrepancy in Application submitted On-line and Off-line, the information submitted in the hard copy (Off-line submission) will prevail.</u></b></p>
<b>ITA 13.2</b>	Undertaking related to Manufacturer’s Authorisation in accordance with Form E.4.1 included in Part V of this Application Document.
<b>ITA 13.3</b>	<p>The source for determining exchange rates is:  For conversion of foreign currency / Indian rupees (INR) to US Dollar, the Applicants shall use the Reference Rates of Foreign Currency published by Financial Benchmark India Private Ltd (FBIL) (<a href="https://www.fbil.org.in/">https://www.fbil.org.in/</a> )</p> <p>In case a particular currency rate is not published by FBIL, then the selling rate of such currency shall be taken from the following website:  <a href="http://www.oanda.com">http://www.oanda.com</a></p>

<b>ITA 13.3(b) &amp; (d)</b>	<p>Applicants shall use the following rates for conversion between USD and INR:</p> <table border="1" data-bbox="592 271 1278 920"> <thead> <tr> <th></th> <th><b>USD 1 = INR</b></th> <th><b>1 INR = USD</b></th> </tr> </thead> <tbody> <tr> <td>31-Mar-11</td> <td>44.6500</td> <td>0.0224</td> </tr> <tr> <td>31-Mar-12</td> <td>51.1565</td> <td>0.0195</td> </tr> <tr> <td>31-Mar-13</td> <td>54.3893</td> <td>0.0184</td> </tr> <tr> <td>31-Mar-14</td> <td>60.0998</td> <td>0.0166</td> </tr> <tr> <td>31-Mar-15</td> <td>62.5908</td> <td>0.0160</td> </tr> <tr> <td>31-Mar-16</td> <td>66.3329</td> <td>0.0151</td> </tr> <tr> <td>31-Mar-17</td> <td>64.8386</td> <td>0.0154</td> </tr> <tr> <td>31-Mar-18</td> <td>65.0441</td> <td>0.0154</td> </tr> <tr> <td>31-Mar-19</td> <td>69.1713</td> <td>0.0145</td> </tr> </tbody> </table>		<b>USD 1 = INR</b>	<b>1 INR = USD</b>	31-Mar-11	44.6500	0.0224	31-Mar-12	51.1565	0.0195	31-Mar-13	54.3893	0.0184	31-Mar-14	60.0998	0.0166	31-Mar-15	62.5908	0.0160	31-Mar-16	66.3329	0.0151	31-Mar-17	64.8386	0.0154	31-Mar-18	65.0441	0.0154	31-Mar-19	69.1713	0.0145
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<b>USD 1 = INR</b>	<b>1 INR = USD</b>																														
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<b>ITA 14.1</b>	<p>Additionally, one (1) copy in a pen drive shall also be submitted.</p> <p>The prequalification application document (off line version) shall be submitted in <b>spiral or hard bound form</b> only and not as loose sheets in plastic folders. All the pages shall be <b>machine numbered</b> and a table of contents shall be included in the beginning of each volume of documents referring the page numbers of the indexed items.</p>																														
<b>ITA 16.1</b>	<p>Submission of Application is required in <b>dual mode i.e. on-line as well as off-line</b> as mentioned in ITA 10.1(d).</p> <p><b>The deadline for Application submission is:</b></p> <p><b>Date: September 05, 2019</b></p> <p><b>Time: 15:00 hrs</b></p> <p>For <b>application submission purposes only</b>, the Bank's address is:</p> <p>Bank's address is the same as that indicated in ITA 2.1</p> <p><b>Attention: Ms. Amita Dang, Assistant General Manager</b></p>																														

<b>ITA 18.1</b>	The opening of the Applications shall be at the Bank's address as that indicated in ITA 2.1  <b>Date: September 05, 2019</b>  <b>Time: 15:30 hrs</b>
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#### **Part IV. Prequalification Criteria and Requirements**

This Part contains all the criteria, requirements and procedures that the Bank shall use to evaluate Applications. The information to be provided in relation to each requirement and the definitions of the corresponding terms can be referred to in the respective Forms.

#### **Contents**

<b>A</b>	<b>General</b>	<b>39</b>
<b>B</b>	<b>Past Contract Performance and Litigation</b>	<b>39</b>
<b>C</b>	<b>Financial Status and Capacity</b>	<b>41</b>
<b>D</b>	<b>Experience</b>	<b>42</b>
<b>E</b>	<b>Quality Assurance</b>	<b>45</b>

## A. General

<b>A.1 Nationality</b>	
<b>Requirement:</b>	<ul style="list-style-type: none"> <li>➤ The Applicant's Nationality shall be in accordance with ITA 4.4</li> <li>➤ Documentation and Attachments to be submitted as mentioned below</li> </ul>
<b>Documentation to be submitted</b>	Form A.1.1 and A.1.2
<b>Attachments to be submitted</b>	<ul style="list-style-type: none"> <li>➤ Articles &amp; Memorandum of Association and Certificate of Incorporation / Partnership Deed (in case of Partnership firm) of the Applicant in accordance with ITA 4.4.</li> </ul>

<b>A.2. Eligibility</b>	
<b>Requirement:</b>	<ul style="list-style-type: none"> <li>➤ <b>Applications from Joint Venture or a Consortium, or an Association (JVCA) shall not be considered for the Prequalification.</b></li> <li>➤ The Applicant shall not be under declaration as ineligible, as described in ITA 4.5 and ITA 4.7.</li> <li>➤ Documentation and Attachments to be submitted as mentioned below</li> </ul>
<b>Documentation to be submitted:</b>	Application Submission Form
<b>Attachments</b>	<ul style="list-style-type: none"> <li>➤ The Applicant shall submit a copy [self-attested on all pages] of Power of Attorney in favour of the person who has been authorized, through an appropriate Company Board Resolution or equivalent document, to sign on behalf of the Applicant. A copy [self-attested] of such relevant company Board Resolution or equivalent document should also be attached.</li> <li>➤ For an Applicant as a single entity : <ul style="list-style-type: none"> <li>• Permanent Account Number [PAN]: Self attested copy</li> <li>• GST Registration details, as applicable: Self attested copy</li> </ul> </li> </ul>

## B. Past Contract Performance and Litigation

<b>B.1 Past Contract Non-performance</b>	
<b>Requirement:</b>	<ul style="list-style-type: none"> <li>• There shall be no instance of contract<sup>2</sup> non-performance as a result of Applicant's default since <b>August 01, 2014.</b></li> <li>• The Applicant shall inform Exim Bank of any such</li> </ul>

<sup>2</sup> Contract 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.

	instances post submission of the Prequalification Application. <ul style="list-style-type: none"> <li>• Documentation and Attachments to be submitted as mentioned below.</li> </ul>
Documentation to be submitted:	Form B.1.1
Attachments to be submitted:	Documents establishing details included in Form B.1.1

<b>B.2 Pending Contract Litigation</b>	
Requirement:	<p>➤ Applicant shall have a positive* 'Adjusted Net Worth' determined as per financial statements for the latest financial year (FY 2017-18), adjusted for 'Pending Contractual Litigation Value' as considered below:</p> <ul style="list-style-type: none"> <li>○ 'Pending Contractual Litigation Value' shall be deemed to be 25% of the aggregate value of pending litigation across all contracts, net of provisions made in the latest audited financial statements (FY 2017-18), which shall be deducted from the net worth to arrive at the 'Adjusted Net Worth'.</li> </ul> <p><b>*Adjusted Net Worth:</b></p> <p>Net worth as per the latest financial statements <b>less</b> [25% of Pending Contractual Litigation Value <b>less</b> provisions made in the latest audited financial statements for pending contractual litigations] = Positive</p> <p>➤ Documentation and Attachments to be submitted as mentioned below.</p>
Documentation to be submitted:	Form B.2.1
Attachments to be submitted:	Documents establishing details included in Form B.2.1

<b>B.3 Contract Litigation History</b>	
Requirement:	<ul style="list-style-type: none"> <li>• The aggregate amount of awards against the Applicant, if any, since <b>August 01, 2014</b> shall not exceed 25% of the net worth as per the latest financial statements.</li> <li>• Documentation and Attachments to be submitted as mentioned below.</li> </ul>
Documentation to be submitted:	Form B.3.1
Attachments to be submitted:	Documents establishing details included in Form B.3.1



## C. Financial Status and Capacity

<b>C.1 Financial Status</b>																																					
Requirement:	<p>(i) The audited balance sheets and statements of profit &amp; loss and annual report for the last 5 financial years [FY 2013-14 to FY 2017-18] shall be submitted and must demonstrate the current soundness of the Applicant’s financial position and indicate its prospective long-term profitability in terms of:</p> <ol style="list-style-type: none"> <li>a. Positive net worth for each of the last five (5) financial years defined above;</li> <li>b. Positive profit (i.e. Profit Before Tax) for at least two (2) out of last five (5) financial years defined above;</li> <li>c. Annual Revenue<sup>3</sup>in any one (1) of the last five (5) financial years as defined above, be not less than as under:</li> </ol> <table border="1" data-bbox="683 898 1458 1059"> <thead> <tr> <th colspan="2">Lot 1</th> <th colspan="2">Lot 2</th> <th colspan="2">Lot 3</th> </tr> </thead> <tbody> <tr> <td><b>USD</b></td> <td><b>23.10</b></td> <td><b>USD</b></td> <td><b>46.30</b></td> <td><b>USD</b></td> <td><b>25.10</b></td> </tr> <tr> <td><b>million</b></td> <td></td> <td><b>million</b></td> <td></td> <td><b>million</b></td> <td></td> </tr> </tbody> </table> <p>(ii) The Applicant shall demonstrate that it has access to, or has available, liquid assets, unencumbered real assets, lines of credit and other financial means [independent of any contractual advance payment] sufficient to meet the project cash flow requirements of ongoing contracts, including the present contract, net of the Applicants’ other commitments. Minimum required liquid assets<sup>4</sup>and/or credit facilities to be made available for execution of the contract shall not be less than:</p> <table border="1" data-bbox="683 1473 1458 1635"> <thead> <tr> <th colspan="2">Lot 1</th> <th colspan="2">Lot 2</th> <th colspan="2">Lot 3</th> </tr> </thead> <tbody> <tr> <td><b>USD 5.78 million</b></td> <td></td> <td><b>USD</b></td> <td><b>11.58</b></td> <td><b>USD 6.28 million</b></td> <td></td> </tr> <tr> <td></td> <td></td> <td><b>million</b></td> <td></td> <td></td> <td></td> </tr> </tbody> </table> <p>(iii) In order to qualify for multiple lots, Applicant shall meet aggregate of the requirements stipulated for (i) (c) and (ii) above for each such lots.</p>	Lot 1		Lot 2		Lot 3		<b>USD</b>	<b>23.10</b>	<b>USD</b>	<b>46.30</b>	<b>USD</b>	<b>25.10</b>	<b>million</b>		<b>million</b>		<b>million</b>		Lot 1		Lot 2		Lot 3		<b>USD 5.78 million</b>		<b>USD</b>	<b>11.58</b>	<b>USD 6.28 million</b>				<b>million</b>			
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<sup>3</sup>In case of Contracts in INR, the exchange rate of 31<sup>st</sup> March of the financial year in which the contract was signed will be used to arrive at the USD equivalent.

<sup>4</sup>Exchange rate prevalent as on the working day preceding the date of Invitation for Prequalification (IFP) shall apply [Refer ITA 13.3(c)].

	(iv) Documentation and Attachments to be submitted as mentioned below
Documentation to be submitted:	Form C.1.1 and Form C.1.3 both certified by the Statutory Auditor of the Applicant  Form C.1.2
Attachments to be submitted:	The Applicant and its parties shall provide copies of audited financial statements for the last five (5) years defined above. The financial statements shall: <ul style="list-style-type: none"> <li>a) reflect the financial situation of the Applicant and not an affiliated entity [such as parent company or group member].</li> <li>b) be independently audited and certified by the Statutory Auditor/ Chartered Accountant in accordance with applicable legislation.</li> <li>c) be complete, including all notes to the financial statements.</li> <li>d) correspond to accounting periods already completed and audited.</li> </ul> Supporting documents issued by the Banks for additional financial means for likely future commitments to be attested by the respective banks. These documents shall be of latest available date and shall be valid beyond the last date of submission of the Prequalification Application.
<b>C.2 Value of ongoing contracts</b>	
Requirement	<ul style="list-style-type: none"> <li>➤ Aggregate annual residual value<sup>5</sup> of all ongoing contracts shall not be more than 350% of the highest annual turnover in last five (5) years as defined above.</li> <li>➤ Documentation and Attachments to be submitted as mentioned below.</li> </ul>
Documentation to be submitted:	➤ Form C.2.1 certified by a Chartered Accountant
Attachments to be submitted:	➤ None

## D. Experience

<b>D.1 General Experience</b>	
Requirement:	<ul style="list-style-type: none"> <li>• Experience of supply of Indian manufactured Diesel Electric Locomotives (for Lot 1), Railway Passenger Coaches and DEMU (for Lot 2) and Freight Wagons (for Lot 3), in the role of prime contractor, or as JV member to</li> </ul>

<sup>5</sup> Exchange rate prevalent as on the working day preceding the date of Invitation for Prequalification (IFP) shall apply [Refer ITA 13.3(c)].

	<p>the main purchaser/project employer, during the last seven (7) years, starting <b>August 01, 2012 and up to application submission deadline.</b></p> <ul style="list-style-type: none"> <li>• Documentation and Attachments to be submitted as mentioned below.</li> </ul>
Documentation to be submitted:	Form D.1.1
Attachments to be submitted:	<ul style="list-style-type: none"> <li>➤ Final Acceptance Certificate/ Completion Certificate/ Testimonial Letters issued by the Project Authority for each contract listed in Form D.1.1 giving, inter alia, details of scope and value of work executed by the Applicant, contract start and completion dates.</li> <li>➤ In case the contracts listed in D.1.1 are executed by the Applicant as a member of JV, a copy of Agreement between Project Authority and JV to substantiate Individual JV member's delineated roles, responsibilities and scope and value of work.</li> <li>➤ Subcontractors' experience and resumes, if any, submitted with the application shall not be taken into account in determining the Applicant's compliance.</li> </ul>

<b>D.2 Specific Experience</b>	<b>Refer Part I: Scope of Supply</b>																		
Requirement:	<p><b>A.</b> Experience of at least the number and value of supply contracts for Indian manufactured Diesel Electric Locomotives (for Lot 1), Railway Passenger Coaches and DEMU (for Lot 2) and Freight Wagons (for Lot 3) as mentioned below, in the role of prime contractor or JV member<sup>6</sup> to the main purchaser/project employer, completed between <b>August 01, 2012 and application submission deadline:</b></p> <p><b>Lot 1</b></p> <table border="1"> <thead> <tr> <th></th> <th>No. of Contracts</th> <th>Value<sup>7</sup> of Each Contract [in USD million]</th> </tr> </thead> <tbody> <tr> <td>Option I</td> <td>3</td> <td>9.24</td> </tr> <tr> <td colspan="3" style="text-align: center;"><b>OR</b></td> </tr> <tr> <td>Option II</td> <td>2</td> <td>11.55</td> </tr> <tr> <td colspan="3" style="text-align: center;"><b>OR</b></td> </tr> <tr> <td>Option III</td> <td>1</td> <td>18.48</td> </tr> </tbody> </table>		No. of Contracts	Value <sup>7</sup> of Each Contract [in USD million]	Option I	3	9.24	<b>OR</b>			Option II	2	11.55	<b>OR</b>			Option III	1	18.48
	No. of Contracts	Value <sup>7</sup> of Each Contract [in USD million]																	
Option I	3	9.24																	
<b>OR</b>																			
Option II	2	11.55																	
<b>OR</b>																			
Option III	1	18.48																	

<sup>6</sup>Experience shall be considered on basis of scope of work of the Applicant in that JV for the contract under reference.

<sup>7</sup>In case of contracts in INR, for contracts signed in the current financial year, the exchange rate prevalent as on the date of Invitation for Prequalification (IFP) shall be used to arrive at USD equivalent. For other contracts, the exchange rate as on 31<sup>st</sup> March of the financial year in which the contract was signed shall be used to arrive at the USD equivalent.

- i. The applicant should have at least 10 years' experience in design and manufacture of new 3000 HP & above Diesel Electric Locomotives with gauge size of more than 1,000mm during the period mentioned above **or** the applicant shall provide confirmation that the manufacturer to whom the applicant has authorized to manufacture is having at least 10 years' experience in design and manufacture of new 3000 HP & above Diesel Electric Locomotives with gauge size of more than 1,000mm during the period mentioned above.
- ii. In addition, the applicant shall demonstrate experience in maintenance of Diesel Electric Locomotives.

**Lot 2**

	No. of Contracts	Value <sup>8</sup> of Each Contract [in USD million]
Option I	3	18.52
<b>OR</b>		
Option II	2	23.15
<b>OR</b>		
Option III	1	37.04

- i. The applicant should have at least 5 years' experience in design and manufacture of new Railway Passenger Coaches and 1800 HP & above DEMUs with gauge size of more than 1,000mm during the period mentioned above **or** the applicant shall provide confirmation that the manufacturer to whom the applicant has authorized to manufacture is having at least 5 years' experience in design and manufacture of new Railway Passenger Coaches and 1800 HP & above DEMUs with gauge size of more than 1,000mm during the period mentioned above.
- ii. In addition, the applicant shall demonstrate experience in maintenance of Railway Passenger Coaches and DEMUs.

**Lot 3**

	No. of Contracts	Value <sup>9</sup> of Each Contract [in USD million]
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<sup>8</sup>In case of contracts in INR, for contracts signed in the current financial year, the exchange rate prevalent as on the date of Invitation for Prequalification (IFP) shall be used to arrive at USD equivalent. For other contracts, the exchange rate as on 31<sup>st</sup> March of the financial year in which the contract was signed shall be used to arrive at the USD equivalent.

<sup>9</sup>In case of contracts in INR, for contracts signed in the current financial year, the exchange rate prevalent as on the date of Invitation for Prequalification (IFP) shall be used to arrive at USD equivalent. For other contracts, the exchange rate as on 31<sup>st</sup> March of the financial year in which the contract was signed shall be used to arrive at the USD equivalent.

Option I	3	10.04
<b>OR</b>		
Option II	2	12.55
<b>OR</b>		
Option III	1	20.08

i. The applicant should have at least 5 years' experience in design and manufacture of new Freight Wagons with gauge size of more than 1,000mm during the period mentioned above **or** the applicant shall provide confirmation that the manufacturer to whom the applicant has authorized to manufacture is having at least 5 years' experience in design and manufacture of new Freight Wagons with gauge size of more than 1,000mm during the period mentioned above.

ii. In addition, the applicant shall demonstrate experience in maintenance of Freight Wagons.

**B.** The Applicant shall submit the completion certificate as document of proof for completion of similar nature of work and mention the date and cost of completion of the work along with year of manufacture. The end user certificate shall be enclosed with the bids with regard to the quality and performance of these rolling stock supplied.

**C.** Subcontractors' experience and resumes, if any, submitted with the application shall not be taken into account in determining the Applicant's compliance.

**D.** In order to qualify for multiple lots, Applicant shall meet the following requirements:

i. Under D.2.A Specific Experience, an Applicant shall meet the requirement under each lot separately.

ii. If an Applicant submits applications for multiple lots, evaluation will include an assessment of the bidders' capacity to meet aggregate requirements under the following:

- Financial status under C.1: Turn over and Liquid Assets/Cash flow requirements.

iii. The Applicant shall clearly indicate the priority for the lot/s the Applicant wishes to be prequalified. Evaluation and prequalification will be made based on the priority

	<p>indicated by the Applicant for different lots. In case no priority is indicated, Exim Bank's evaluation shall be final.</p> <p><b>E. Documentation and Attachments to be submitted as mentioned below.</b></p>
Documentation to be submitted:	Form D.2.1
Attachments to be submitted:	<ul style="list-style-type: none"> <li>➤ Final Acceptance/ Completion Certificate/ Testimonial Letter issued by the Project Authority for each contract listed in Form D.2.1 giving, inter alia, details of scope and value of work executed by the Applicant, contract start and completion dates.</li> <li>➤ In case the contracts listed in D.2.1 are executed by the Applicant as a member of JV, a copy of Agreement between Project Authority and JV to substantiate Individual JV member's delineated roles, responsibilities and scope and value of work.</li> </ul>

### **E. Quality Assurance**

**Result of evaluation to the following criteria may lead to full prequalification or conditional prequalification**

<b>E.1 Certified Management System</b>	
Requirement:	ISO Accreditation / Certified Quality Management System
Documentation to be submitted:	Form E.1.1
Attachments to be submitted:	Self-attested copy of ISO Accreditation / Quality Management System Certificate valid as on the deadline for submission of application.

<b>E.2 Manufacturer's Authorisation</b>	
Requirement:	<ul style="list-style-type: none"> <li>• In the case of an Applicant who offers to supply and/or install equipment in accordance with Part I of the Application Document that the Applicant did not manufacture or otherwise produce, the Applicant shall submit an undertaking to submit Manufacturers' Authorization(s) for all major equipment in favour of the Applicant to bid for the subsequent contract confirming warranty support, in the event of prequalification and submission of bid by the Applicant.</li> <li>• Documentation to be submitted as mentioned below.</li> </ul>

Documentation to be submitted:	Form E.2.1
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**NOTE:**

The Evaluation Criteria for Pre- Qualification of Applicants

<b>Sr. No.</b>	<b>Description</b>	<b>Remarks</b>
A.	General	Evaluation on Pass/ Fail basis
B.	Past Contract Performance and Litigation	Evaluation on Pass/ Fail basis
C.	Financial Status and Capacity	Evaluation on Pass/ Fail basis
D.	Experience	Evaluation on Pass/ Fail basis
E.	Quality Assurance	Full or Conditional prequalification

**Part V. Forms**  
**Table of Forms**

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Checklist for Various Forms and Documents to be Submitted	:	51
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Ongoing Contracts	:	62
General Experience	:	63
Specific Experience	:	64
Certified Management System	:	66
Manufacturer's Authorisation (Undertaking)	:	67



## Application Submission Form

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

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

To: *[insert full name of Bank]*

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

- (a) We have examined and have no reservations to the Application Document, including Corrigendum No(s).\_\_\_\_\_, issued in accordance with Instructions to Applicants (ITA) 7: *[insert the number and issuing date of each corrigendum or "nil" if no corrigendum is issued]*.
- (b) We meet the eligibility requirements as stated in ITA 4.1, we have not been currently blacklisted/debarred/ sanctioned in accordance with ITA 4.5. Subsequent to the deadline for Application submission, in case we are blacklisted/debarred/sanctioned, we shall immediately inform Exim Bank of such blacklisting/debarment/sanction and reasons thereof, in accordance with ITA 4.5;
- (c) We confirm that we are currently not under default in any loan to any Bank/FI and our account has not been classified as Non-Performing Asset (NPA) with any Bank/FI. We further confirm that none of our companies/promoters/directors appear in RBI Caution List, RBI Willful Defaulter List (Suit filed as well as non-suit filed), Credit Information Bureau India Ltd.[CIBIL] Defaulter List and any other negative list of central and state government agencies, updated from time to time. On being included in any of the above lists, we shall immediately inform Exim Bank on the inclusion and reason for inclusion thereof, in accordance with ITA 4.7;
- (d) 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 subsequent contract(s) subject to this prequalification process, without incurring any liability to the Applicants, in accordance with ITA 23.1.
- (e) We hereby confirm that we have not appointed any agent and we have not paid any agency commission for this Prequalification process. If prequalified, we also confirm that we will not appoint any agent and nor will we pay any agency commission for the corresponding tendering process or execution of the contract.
- (f) We further declare that we are/are not (Note: strike off whichever is not applicable) facing any investigation by any Government procuring entity of any country/ corporation or Multilateral Development Agencies (MDA). (If yes, please provide details in a separate sheet, as necessary.)

- (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. We understand that misrepresentation of facts in our Application and contravention to ITA 3, inter alia, may lead to rejection of our Application/ cancellation of prequalification.

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

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

In the capacity of *[insert capacity of person(s) signing the Application]*

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

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

Encl: Checklist of forms and documents

### Checklist for Various Forms and Documents to be Submitted

Form No.	Details of Forms and Documents	Page no.
	NEFT acknowledgement receipt towards payment of Processing Fee	
A.1.1	Applicant Information Form	
	1. Articles & Memorandum of Association	
	2. Certificate of Incorporation (or equivalent documents of constitution or association), and/or documents of registration	
	3. PAN and GST Registration Details	
	4. Letter of intent to form JV or JV agreement, in case of JV	N.A.
	5. Organizational chart	
	6. List of Board of Directors with their complete designation in case of nominee directors	
	7. The beneficial ownership with respective shareholding and nationality of shareholders	
	8. A copy (self-attested on all pages) of Power of Attorney in favour of the person who has been authorised, through an appropriate Company Board Resolution or equivalent document, to sign on behalf of the Applicant	
	9. A copy of relevant Company Board Resolution referred to in item No. 8 above	
A.1.2*	Applicant's JV Member's Information Form [in case Applicant is a JV]	N.A.
*	1. Articles & Memorandum of Association of the JV Member	
*	2. Certificate of Incorporation (or equivalent documents of constitution or association), and/or documents of registration, of the JV Member	
*	3. PAN and GST Registration Details of the JV Member	
*	4. Organizational chart of the JV Member	
*	5. List of Board of Directors with their complete designation in case of nominee directors of the JV Member	
*	6. The beneficial ownership with respective shareholding and nationality of shareholders of the JV Member	

*	7. A copy (self-attested on all pages) of Power of Attorney in favour of the person who has been authorised, through an appropriate Company Board Resolution or equivalent document, to sign on behalf of the Applicant	
*	8. A copy of relevant Company Board Resolution referred to item No. 7 above.	
B.1.1*	Non-Performed Contracts	
*	1. Documents establishing details included in Form B.1.1	
B.1.2 *	Pending Litigation	
*	1. Documents establishing details included in Form B.2.1	
B.1.3 *	Litigation History	
*	1. Documents establishing details included in Form B.3.1	
C.1.1*	Financial Status & Capacity, certified by the Statutory Auditor of the Applicant	
C.1.2 *	Sources of Finance	
*	1. Audited Annual Reports for the last 5 years	
*	2. Statement of Consolidated Credit Facilities (sanctioned, utilised and available) from Lead Banker or respective Bank statements duly attested by the respective banks.	
C.1.3 *	Annual Turnover, certified by the Statutory Auditor of the Applicant	
C.2.1 *	Ongoing Contracts (Certified by a Chartered Accountant)	
D.1.1*	General Experience	
*	1. Final Acceptance Certificate/ Completion Certificate/ Testimonial Letters issued by the employer for each contract listed in Form D.1.1	
*	2. In case the contracts listed in D.1.1 are executed by the Applicant as a member of JV, a copy of Agreement between Project Authority and JV to substantiate Individual JV member's delineated roles and responsibilities and scope and value of work.	
D.2.1 *	Specific Experience	
*	1. Final Acceptance Certificate/ Completion Certificate/ Testimonial Letters issued by the employer for each contract listed in Form D.2.1	
*	2. In case the contracts listed in D.2.1 are executed by the Applicant as a member of JV, a copy of Agreement between Project Authority and JV	

	to substantiate Individual JV member's delineated roles and responsibilities and scope and value of work.	
E.1.1	Certified Management System	
	Self-attested copy of ISO Accreditation / Quality Management System Certificate	
E.2.1	Manufacturer's Authorisation (Undertaking)	
Part VI. *	Questionnaire for Applicants	

Note : i. Please insert page numbers

ii. Documents marked '\*' to be submitted for each JV member separately.

**Form A.1.1**

**Applicant Information Form**

[to be filled by Applicant if being a Single Entity]

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

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

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

Applicant's name <i>[insert full name]</i>
Applicant's country* of registration: <i>[indicate country of Constitution]</i>
Applicant's actual year of incorporation: <i>[indicate year of Constitution]</i>
Applicant's legal address [registered in India]: <i>[insert street/ number/ town or city/ country]</i>
Applicant'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>
1. Attached are copies of original documents of <input type="checkbox"/> Articles & Memorandum of Association, Certificate of Incorporation (or equivalent documents of constitution or association), and/or documents of registration of the legal entity named above, in accordance with ITA 4.4. 2. Included are the PAN, TIN & GST Registration details, organizational chart, a list of Board of Directors with their complete designation in case of nominee directors, and the beneficial ownership with respective shareholding and nationality of shareholders.

\* Note: Applicant's attention is drawn to ITA 4.1 pursuant to which this prequalification process is open to only Indian firms.

**Form B.1.1/ B.2.1/ B.3.1**

**Past Contract Non-Performance, Pending Litigation and Litigation History**

*[Each of the following tables shall be filled in for the Applicant]*

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

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

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

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

<b>Form B.1.1</b>			
Non-Performed Contracts in accordance with Part IV, Prequalification Criteria and Requirements			
<input type="checkbox"/> Contract non-performance did not occur since the date specified in Part IV, Prequalification Criteria and Requirements, Sub-Factor B.1.			
<input type="checkbox"/> Contract(s) not performed since the date specified in Part IV, Prequalification Criteria and Requirements, requirement B.1			
Year	Non-performed portion of contract	Contract Identification	Total Contract Amount (current value, currency, exchange rate and US\$ equivalent)
<i>[insert financial year]</i>	<i>[insert amount and percentage]</i>	Contract Identification: <i>[indicate complete contract name/ number, date, value 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 in USD equivalent and specify exchange rate and date]</i>

**Form B.2.1**

Pending Litigation, in accordance with Part IV, Prequalification Criteria and Requirements

- No pending litigation in accordance with Part IV, Prequalification Criteria and Requirements, Sub-Factor B.2
- Pending litigation in accordance with Part IV, Prequalification Criteria and Requirements, Sub-Factor B.2 as indicated below.

<b>Year of dispute</b>	<b>Amount in dispute (currency)</b>	<b>Contract Identification</b>	<b>Total Contract Amount (currency), USD Equivalent (exchange rate)</b>	<b>Amount of specific provision already made, if any</b>
<i>[insert financial year]</i>	<i>[insert amount]</i>	Contract Identification: <i>[indicate complete contract name, number, date, value and any other identification]</i>  Name of Employer: <i>[insert full name]</i>  Address of Employer: <i>[insert street/city/country]</i>  Matter in dispute: <i>[indicate main issues in dispute]</i>  Party who initiated the dispute: <i>[indicate "Purchaser" or "Supplier"]</i>  Status of dispute: <i>[Indicate if it is being treated by the Adjudicator, under Arbitration or being dealt with by the Judiciary]</i>	<i>[insert amount]</i>	<i>[insert amount in USD equivalent and specify exchange rate]</i>



**Form B.3.1**

Litigation History, in accordance with Part IV, Prequalification Criteria and Requirements

- No litigation since the date specified in Part IV, Prequalification Criteria and Requirements, Sub-Factor B.3.
- Litigation Awards in accordance with Part IV, Prequalification Criteria and Requirements, Sub-Factor B.3 as indicated below.

<b>Year of award</b>	<b>Outcome as percentage of Net Worth</b>	<b>Contract Identification</b>	<b>Total Contract Amount (currency), USD Equivalent (exchange rate)</b>
<i>[insert financial year]</i>	<i>[insert percentage]</i>	Contract Identification: <i>[indicate complete contract name, number, date, value and any other identification]</i> Name of Employer: <i>[insert full name]</i> Address of Employer: <i>[insert street/city/country]</i> Matter in dispute: <i>[indicate main issues in dispute]</i> Party who initiated the dispute: <i>[indicate "Purchaser" or "Supplier"]</i> Result of dispute: <i>[Indicate if resolution was treated by the Adjudicator, under Arbitration or dealt with by the Judiciary and whether resolved in favour or against the Applicant]</i>	<i>[insert amount in USD equivalent and specify exchange rate and date]</i>

## Form C.1.1

### Financial Status and Capacity

*[The following table shall be filled in for the Applicant and shall be certified by the Statutory Auditor. Failure to comply with this requirement may result in rejection of the Application]*

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

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

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

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

#### Financial data

Type of Financial information in	Historic information for previous five [5] years (amount in Indian Rupees)				
	FY 2013-14	FY 2014-15	FY 2015-16	FY 2016-17	FY 2017-18
<b>Sources of Fund</b>					
Share Holder's Fund					
Loan Fund					
<b>Application of Fund</b>					
Fixed Assets					
Investments					
Net Current Assets					
(i) Current assets, loans and advances					
Less: (ii) Current liabilities & provisions					
Misc. exp. to the extent not W/Off or adjusted					
Profit and Loss Account					
<b>Net Worth</b>					
Net worth					
<b>Information from Income Statement</b>					
Income					
Expenditure					
Profit/(Loss) Before Tax (PBT)					
Profit/(Loss) After Tax (PAT)					
<b>Information From Cash flow Statement</b>					
Cash Flow from Operating Activities					
Cash Flow from Investments					
Cash Flow from Financing Activities					

## Form C.1.2

### Sources of Finance

[The following table shall be filled in for the Applicant]

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

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

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

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

Specify sources of finance to meet the cash flow requirements for works currently in progress

A. Details of Credit Facilities available to the Applicant

Sr No	Type of Facility	Sanctioned Limit	Utilised Limit	Unutilised Limit
	Fund Based Limits			
	a.			
	b.			
	c.			
	<b>Total Fund Based</b>			
	Non-fund Based Limits			
	a			
	b			
	c			
	<b>Total Non –fund Based</b>			
	<b>Total Fund and Non-Funds Based Limits</b>			

B. Details of Liquid Assets such as cash and bank balance, marketable securities and any other financial means which may be used meet the cash flow requirements for works currently in progress by the Applicant

Sr No	Type of Liquid Assets	Amount
1.		
2.		
3.		

**Financial documents**

The Applicant and its parties shall provide copies of audited financial statements for last five years as defined in Part IV, Prequalification Criteria and Requirements, Sub-factor C.1. The financial statements shall:

- (a) reflect the financial situation of the Applicant, 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 statements for the **five** years required above; and complying with the requirements.

Please note that printed Audited Annual Reports are to be certified by the Statutory Auditors duly signed and stamped.

Please submit Statement of Consolidated Credit Facilities (sanctioned, utilised and available) from Lead Banker or respective Bank statements.

**Form C.1.3  
Annual Turnover**

*[The following table shall be filled in for the Applicant and shall be certified by the Statutory Auditors. Failure to comply with this requirement may result in rejection of the Application.]*

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

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

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

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

Year	Amount (INR)			Exchange rate*	USD equivalent
	Contracts in India (A)	Overseas Contracts (B)	Total Turnover (C= A+B)		
<i>FY 2013-14</i>					
<i>FY 2014-15</i>					
<i>FY 2015-16</i>					
<i>FY 2016-17</i>					
<i>FY 2017-18</i>					

\* Refer ITA 13.3 for source of exchange rate. Exchange rate prevalent on 31<sup>st</sup> March shall be used to calculate turnover for respective financial year

**Form C.2.1**  
**Ongoing Contracts**

*[The following table shall be filled in for the Applicant and shall be certified by the Chartered Accountant. Failure to comply with this requirement may result in rejection of the Application.]*

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

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

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

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

Contract Identification	Role of Applicant	Start Date	Contractual Completion Date	Intended/ Revised Completion Date	Residual period for completion	Residual value of Work	Annual Residual value of Work
1	2	3	4	5	6	7	8
Contract Ref: Brief Title of the works: Amount of contract: <i>[insert amount in currency, mention currency used, exchange rate and US\$ equivalent*]</i> Name & Address of Purchaser:	<i>[insert "Prime Contractor" or "JV Member"]</i>				<i>[Insert period in years starting from Application Submission Deadline. In case less than a year, value to be considered shall be 1]</i>	<i>[Insert value in US\$ equivalent including amount billed but pending payment up to deadline for submission of Application]</i>	<i>[Insert value in US\$ equivalent]</i> <i>[7 divide by 6]</i>
							<i>[Insert Total for all Contracts]</i>

\* Exchange rate prevalent as on the working day preceding the date of Invitation for Prequalification (IFP) shall apply to ascertain residual value in equivalent USD. Refer ITA 13.3 for source of exchange rate

## Form D.1.1

### General Experience

*[The following table shall be filled in for the Applicant]*

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

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

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

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

*[Identify contracts that demonstrate similar experience in India pursuant to Part IV, Prequalification Criteria and Requirements, Sub-Factor D.1. List contracts chronologically, according to their commencement (starting) dates and attach Final Acceptance Certificates.]*

<b>Contract Identification</b>	<b>Start Date</b>	<b>Initial Contractual End Date</b>	<b>Actual Completion Date and Reasons for delay, if any</b>	<b>Role of Applicant</b>
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 Purchaser: <i>[indicate full name]</i> Address: <i>[indicate street/number/town or city/country]</i>	<i>[indicate date as dd/ mmm/ yyyy]</i>	<i>[indicate date as dd/ mmm/ yyyy]</i>		<i>[insert "Prime Contractor " or "JV Member"]</i>

\* Refer ITA 13.3 for date and source of exchange rate

\* Final Acceptance Certificate / Completion Certificate / Testimonial Letters issued by the Employer / to be attached for each contract in an orderly fashion

## Form D.2.1

### Specific Experience

*[The following table shall be filled in for contracts completed by the Applicant, as applicable, pursuant to Part IV, Prequalification Criteria and Requirements, Sub-Factor D.2.]*

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

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

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

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

#### Information

Similar Contract No.	<i>[insert number] of [insert number of similar contracts required]</i>		
Contract Identification	<i>[insert contract name and number, if applicable]</i>		
Contract date	<i>[dd/mmm/yyyy]</i>		
Completion date	<i>Contractual:</i>		<i>Actual: [dd/mmm/yyyy]</i>
Role in Contract <i>[check the appropriate box]</i>	Prime Contractor <input type="checkbox"/>		Member in JV <input type="checkbox"/>
Total Contract Amount	<i>[insert total contract amount in contract currency]</i>		US\$ <i>[insert Exchange rate and total contract amount in US\$ equivalent]*</i>
If member in a JV, 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 Details	Employer's Name: Address: Telephone, fax number, E-mail:		
Description of the similarity in accordance with Sub-Factor D.2 of Part IV:	<i>[Name the Sector/ Sub-sector][Briefly mention the similarity in terms of sectoral characteristics and technical aspects listed in Sub-Factor D.2]</i>		
<b>For the above contract, mention the following attributes</b>			
1. Capacity/ Physical size of key works items	<i>[insert capacity/ physical size of key work items]</i>		
2. Complexity	<i>[insert description of complexity in accordance with the technical aspects mentioned under Part IV D.2]</i>		
3. Methods/ Technology	<i>[insert specific aspects of the methods/ technology involved in the contract]</i>		
4. Rate of execution for key items	<i>[insert execution rates for key items]</i>		
5. Other Characteristics	<i>[insert other characteristics as appropriate]</i>		



*Note: Rate implies the quantity executed in unit time e.g. cubic meters of earthwork per annum, etc.*

\* Refer ITA 13.3 for date and source of exchange rate.

\* Final Acceptance Certificate /Completion Certificate/ Testimonial Letters issued by the Employer to be attached for each contract, in an orderly fashion

**Form E.1.1**

**Certified Management System**

*[The following table shall be filled in for the Applicant*

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

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

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

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

ISO Accreditation/ Certified Management System	Process/ Discipline Certified/ Inclusions	Certification Start Date	Certification Valid up to	Certifying Organization
[indicate the quality management system accreditation]	[indicate certificate identification number and mention which process or discipline has been certified and inclusions]	[dd/mmm/yyyy]	[dd/mmm/yyyy]	[indicate the name of the certifying organization and contact details]

Copy of ISO Certificate(s) to be attached duly self-attested.

**Form E.2.1**

**Manufacturer's Authorisation (Undertaking)**

*[The following form shall be filled in for the Applicant]*

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

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

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

We, *[insert Applicant's full name]* hereby undertake, in the event that we are prequalified and invited to submit a bid, to submit manufacturer's authorization(s) in our favour:

- (a) to bid for the supply of equipment for the tender under reference;
- (b) confirming guarantee/ warranty support for the equipment bid for by us; and
- (c) confirming that the equipment being bid for to be supplied shall be new and unused.

*[To be attested by the authorized representative of the Applicant]*

### Part VI. Questionnaire for Applicants

Name of Applicant: []

IFP No.: [insert IFP No.]

<b><u>Eligibility, Confirmation and Other Important Information</u></b>	<b><u>Response*</u></b>
<p>1. Is your firm, either singly or in joint venture currently empanelled or prequalified as a supplier/manufacturer.</p> <p>If yes, please provide details of Client, Country and Scope of project. Attach additional sheets, if needed.</p>	<p>Confirm:</p> <p>Yes___/No _____</p>
<p>2. Export-Import Bank of India (Bank) requires that Applicants and their affiliates observe the highest standard of ethics during the selection and execution of contracts. In this context, any action taken by an Applicant or its affiliate to influence the prequalification process for undue advantage is improper.</p> <p>Confirm that Applicant and its JV partners, if applicable, have not engaged in any unethical practices in competing for this prequalification.</p>	<p>Confirm:</p> <p>Yes___/No _____</p>
<p>3. Confirm that no official of the Bank has received or will be offered by your firm/organization or agents, any direct or indirect benefit arising from this prequalification or any resulting contracts.</p>	<p>Confirm:</p> <p>Yes___/No _____</p>
<p>4. Has your firm been suspended or debarred by any Multilateral Agency, or any government or government procuring entity, or a UN agency? If Yes, provide details, including date of reinstatement, if applicable. Attach additional sheets, if needed.</p>	<p>Yes___/No _____</p>
<p>5. Has your firm's account been classified as Non-Performing Asset (NPA) with any Bank/FI or your companies/ promoters/ directors appear in Reserve Bank of India (RBI) Caution List, RBI Wilful Defaulter List (Suit filed as well as non-suit filed), Credit Information Bureau India Ltd. (CIBIL) Defaulter List or any other negative list of central and state government agencies, updated from time to time? If yes, please provide details in a separate sheet, as necessary.</p>	<p>Yes___/No _____</p>
<p>6. Has your firm/organization ever filed or petitioned for bankruptcy? (If Yes, furnish details of the case including filing date and current status.). Attach additional sheets, if needed.</p>	<p>Yes___/No _____</p>
<p>7. Has your firm/ any JV partner been penalized for delay in contractual performance in the last 5 years prior to Application submission deadline. If yes, please provide details in a separate sheet, as necessary.</p>	<p>Yes___/No _____</p>
<p>8. Has there been a termination of your contract for non-performance in the last 5 years prior to the month preceding the month of Application Submission Deadline? If Yes, please describe in detail in a separate sheet,</p>	<p>Yes___/No _____</p>

as necessary.	
9. If prequalified and subsequently awarded a contract by the Borrower Government, would your firm be willing (i) to work in accordance with the Borrower country laws and regulations (ii) to submit requisite securities as per contract conditions (iii) to be responsible for the performance of the work executed by your firm (iv) to allow scrutiny of your work, related accounts, documentation by the Borrower/ Bank/ Government of India	Confirm: Yes___/No____ Yes___/No____ Yes___/No____ Yes___/No____
10. Please confirm that you agree to the provisions of the Government of India guidelines dated 7 <sup>th</sup> December 2015 on IDEAS Lines of Credit	Confirm: Yes___/ No ____

*\* Note: To confirm, print "Yes", else "No"*

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*(Signature)*

*[Name of Authorized Signatory]*

*[Title of Authorized Signatory]*

Date: