

NTPC LTD VDC, RAIPUR		
1	CEG No.	CTRR-99
2	Brief description of CEG	Enlistment for Coal Transportation through 'Road' or 'Rail cum Road' mode.
3	Responsibility Centre	VDC
4	Enlistment category	Special Category From Rs. 4 Crs. to Rs. 50 Crs.
5	Brief scope of work	<p>NTPC invites applications from eligible vendors for enlistment to be used for the Transportation of Coal through Road or Rail cum Road mode from Source Location (such as Mines, Stock Yard or from any other source) to Destination (Projects, stock Yard or any other destination) as per the requirement of specific tenders.</p> <p>The enlisted eligible vendors shall be considered for the various tenders as per their execution capability defined under enlistment document hereafter. Further, the enlisted vendor(s) shall be considered for execution of the value of work from INR 4 Crore to INR 50 Crore under a future tender as per their qualification established under the process of enlistment.</p> <p>The scope of work of NTPC tenders will generally include Transportation of Coal through 'Road' and 'Rail cum Road' mode from Source Location (such as Mines, Stock Yard or from any other source) to Destination (Projects, stock Yard or any other destination) including work of Loading of Coal by mechanical means, Transporting of Coal by Road or Rail cum Road in the Trucks/Wagons, washing, crushing, Unloading, stacking and arrangement of the siding ,Rake indenting, Railway siding yard management , Liaison with Railway, Rake loading & unloading' (if required) including ensuring quantity of coal at Source and destination etc. as per the requirement of specific tenders and complying to statutory norms and government rules. Suitable arrangements have to be made by the Agency for transportation of Coal in an environmentally friendly manner.</p> <p>Note: The detail scope of work & other Terms & conditions would be specified separately in the Tender against the specific requirements.</p>
6	Technical Qualifying requirements	<p>A. Technical Criteria</p> <p>The applicant should have executed the work of 'Loading/unloading' and transportation by 'Road' or 'Rail cum Road' of Coal/ Overburden/ Shale/ Soil/ Minerals/ Ash in preceding 5 (Five) years from the last date of submission of application.</p>

Notes for Technical Qualifying Requirements:

a) The word “executed” means the applicant should have achieved the criteria specified in the qualifying requirements within the preceding Five (5) year period even if the contract has been started earlier and/or is not completed/ closed.

In case of contract(s) under execution as on the last date of submission of application, the value of work executed till such date will be considered.

b) For the Purchase Order/Work Order/Agreement which were awarded prior to preceding five (5) years from the last date of submission of application, the value of work executed in the preceding five (5) years from the last date of submission of application will be considered.

c) Reference work executed by the applicant as a subcontractor may also be considered provided the certificate issued by main contractor is duly certified by owner specifying the scope of work executed by the subcontractor in support of qualifying requirements.

d) Reference works executed by the applicant, as a member of joint Venture / Consortium / Associate can also be considered provided:

i. The allocation of scope of work between the partners of the joint Ventures / consortium / Associate is clearly defined in the executed joint venture agreement / consortium agreement / deed of joint undertaking and the applicant's scope of work and break-up of quantities executed by them as individual contribution in the joint Venture / Consortium / Associate, duly authenticated by the Project Authority/Owner, meet the relevant provisions of eligibility criteria.

ii. In case the reference work has been executed by the applicant in an integrated joint venture wherein allocation of scope of work and breakup of quantities between the partners is not clearly specified in the integrated joint venture Agreement, then for establishing the eligibility as per technical criteria mentioned above, the credit of executed quantities can be claimed by the applicant in the ratio of applicant's share in the integrated joint Venture Agreement, provided the applicant establishes that it regularly undertakes works mentioned in QR. The executed works/ quantities by the integrated joint venture shall be duly authenticated by the Project Authority/owner.

B. Financial Criteria

In addition to above, the Applicants will also be required to furnish and upload their audited financial statements along with all the annexures in support of following data:

I) Annual Turn Over of last 03 (three) financial years

II) Net worth of the Applicant as on the last day of the preceding financial year (as on the day of submission of application) should not be less than 100% of the Applicant's paid up share capital.

In case the Applicant does not satisfy the Net worth criteria on its own, it can meet the requirement of Net worth based on the strength of its Subsidiary(ies) and/or Holding Company and/or Subsidiary(ies) of its Holding Companies wherever applicable. The net worth of the Applicant and its Subsidiary(ies) and/or Holding Company and/or Subsidiary(ies) of the Holding Company, in combined manner should not be less than 100% of their total paid-up share capital. However individually, their Net worth should not be less than 75% of their respective paid-up share capitals.

Net worth in combined manner shall be calculated as follows:

$$\text{Net worth (combined)} = (X1+X2+X3) / (Y1+Y2+Y3) \times 100\%$$

Where X1, X2, X3 are individual Net worth which should not be less than 75% of their respective paid-up share capitals and Y1, Y2, Y3 are individual paid up share capitals.

In case the applicant is not able to furnish its audited financial statements on stand-alone entity basis, the unaudited unconsolidated financial statements of the applicant can be considered acceptable provided the applicant further furnishes the following documents for substantiation of its qualification:

I. Copies of the unaudited unconsolidated financial statements of the applicant along with copies of the audited consolidated financial statements of the Holding Company.

II. A certificate from the CEO/CFO of the Holding Company, as per the format enclosed, stating that the unaudited unconsolidated financial statements form part of the Consolidated Annual Financial Statements of the Holding Company.

In cases where audited results for the last preceding financial year as on the day of submission of application are not available, the financial results certified by a practicing Chartered Accountant shall be considered acceptable. In case, Applicant is not able to submit the

		<p>certificate from practicing Chartered Accountant certifying its financial parameters, the audited results for the three (03) consecutive financial years preceding the last financial year shall be considered for evaluating the financial parameters. Further, a certificate would be required from CEO/CFO as per the format enclosed stating that the financial results of the company are under audit as on the date of Techno-commercial bid opening and the certificate from the practicing Chartered Accountant certifying financial parameters is not available</p> <p>Notes:</p> <p>* Net worth means the sum total of the paid-up share capital and free reserves. Free reserve means all reserves credited out of the profits and share premium account but does not include reserves credited out of the revaluation of the assets, write back of depreciation provision and amalgamation. Further any debit balance of Profit and Loss account and miscellaneous expenses to the extent not adjusted or written off, if any, shall be reduced from reserves and surplus.</p> <p>* Other income shall not be considered for arriving at annual turnover figures.</p> <p>* Holding Company” and “Subsidiary Company” shall have the meaning ascribed to them as per Companies Act of India.</p>
7	<p>Execution Capability Criteria for Enlistment</p>	<p>The minimum threshold limit for Execution Capability (EC) and Average Annual Turnover (AATO) of Enlisted Vendors shall be Rs.4,00,00,000 (Rs. Four Crores).</p> <p>If any applicant does not submit the required documents establishing their Execution Capability/ AATO being equal to or exceeding Rs. 4,00,00,000 (Rs. Four Crores), such applicant shall not be considered for enlistment even if they meet the Qualifying Requirement (QR) of subject Enlistment.</p> <p>The Execution Capability (EC) based upon Technical Criteria will be defined / calculated as under:</p> <p>Execution Capability (EC) = 1.25 x * Max Value of Work Executed in a Single Purchase Order/Work Order/Agreement as established during evaluation of Applications.</p> <p>* Illustration(s):</p> <p>1) Maximum value of work executed in Single Purchase Order/Work Order/Agreement of applicant is Rs 3.2 Crore. Then, his execution capability (EC) will be considered as 1.25*3.2=Rs. 4 Crores.</p>

2) Maximum value of work executed in Single Purchase Order/Work Order/Agreement of applicant is Rs 20 Crore. Then, his execution capability (EC) will be considered as $1.25 \times 20 = \text{Rs. 25 Crores}$.

3) Maximum value of work executed in Single Purchase Order/Work Order/Agreement of applicant is Rs 40 Crore. Then, his execution capability (EC) will be considered as $1.25 \times 40 = \text{Rs. 50 Crores}$.

4) Maximum value of work executed in Single Purchase Order/Work Order/Agreement of applicant is Rs 45 Crore. Then, his execution capability (EC) will be considered as Rs. 50 Crores.

5) Maximum value of work executed in single PO of applicant is Rs 100 Crore. Then, his execution capability (EC) will be considered as Rs. 50 Crores.

Thus, as illustrated above, even if an Applicant / Vendor submits Single Purchase Order/Work Order/Agreement of executed value greater than Rs 40 Crore, his execution capability (EC) based on Technical Criteria will be limited and considered up to Rs 50 Crore.

For the purpose of this enlistment, **the executed value or maximum value of work executed (both shall mean the same)** is defined hereunder:

a) The executed value shall mean the total value of work executed (as defined under Technical Criterion read in conjunction with Notes of Technical Criterion) under a single Purchase Order/Work Order/Agreement.

However, if the work of **‘Loading/unloading’ and transportation by ‘Road’ or ‘Rail cum Road’ of Coal/ Overburden/ Shale/ Soil/ Minerals/ Ash**” is part of some different nature of Work/ Purchase Order/Work Order/Agreement, then the total value of work executed in respect of similar Items will only be considered.

b) In case reference work executed by the applicant is transportation through Rail Cum Road route, charges of railway freight will not be considered for evaluation of execution capability purpose.

In case, the charges for transportation (Rail cum Road) are composite (i.e., total transportation charges are inclusive of Road transportation & Rail freight charges), as per the documents submitted by the applicant for the purpose of compliance of Qualifying Requirements, the Rail freight charges will be deducted from total charges. Necessary documents in support of Rail freight like one relevant RR or any other document (during the currency of the referred contract) will be furnished by the applicant.

Overall calculation for deduction of freight will be done on the basis of the above document.

		<p>c) In case Scope of Work under the reference works includes Railway siding charges (including Liasioning charges, if any)/ Crushing charges/ washing of coal charges, besides transportation charges through road, the same will also be considered for determination of execution capability.</p> <p>d) Executed Value means basic value (excluding taxes) of the single Purchase Order/Work Order/Agreement pertaining to work executed, as defined above. Where Purchase Order/Work Order/Agreement value is composite, the applicant should have to give break-up of Composite PO value mentioning Basic Value, taxes etc.</p> <p>e) Purchase Order/Work Order/Agreement having value of work executed, as defined above, less than INR 3.2 Crore shall not be considered.</p>
8	<p>Selection of enlisted vendors for issuing tender enquiry</p>	<p>For a particular tender, eligible vendors shall be selected from the “list of enlisted vendors” considering the following as detailed in the enlistment document:</p> <p>1.Execution capability based on technical criteria.</p> <p>2.Average Annual Turnover of three years.</p> <p>Enlistment will be done based on their qualification against eligibility criteria mentioned in QR-SOW.</p> <p>For eligible vendors, the data regarding execution capability established against technical criteria and their average annual turnover of 3 years shall be considered for selection of enlisted vendors for issuing enquiry for a particular tender.</p>
9	<p>Documents to be submitted</p>	<p>Relevant Purchase Order/Work Order/Agreement copy and Client’s Completion Certificate/RA Bill/Final Deviation Statement.</p> <p>Other Documents to be submitted:</p> <p>In addition to the documents required in support of meeting Technical Qualifying Requirements as stated above, following documents are required to be submitted by the Applicants applying for enlistment-</p> <p>POs with BOQ of the highest executed values of similar work (as defined under Technical Criterion read in conjunction with Notes of Technical Criterion) during previous five years from the date of application and Copy of Completion Certificate /RA Bill/Final Deviation Statement from the concerned client in support of successful execution of work against each of the POs to be submitted.</p> <p>Audited balance sheet including Profit & Loss statement for the previous three completed financial years reckoned from the date of application. In case the audited result for the preceding financial year</p>

		<p>is not available, certification of financial statements from a practicing-chartered accountant is to be uploaded. In case, applicant is not able to submit the certificate from practicing chartered accountant certifying its financial parameters, the audited results of the three consecutive financial years preceding the last financial years shall be considered for evaluating the financial parameters.</p> <p>Further, a certificate would be required from the CEO/CFO stating that the financial results are under audit as on date of application and certificate from the practicing chartered certifying the financial parameters are not available.</p> <p>NSIC / SSI / MSME registration certificate and PF & GST/Service Tax registration certificate.</p> <p>PAN, PF and GST registration certificates</p> <p>Any other documents in addition to the above which the applicant wants to submit to get enlisted.</p> <p>NTPC can ask other documents as necessary during evaluation.</p>
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Note: The terms and conditions as above shall supplement/amend the Standard Terms & Conditions (STC) uploaded in the VDC portal (<https://vdc.ntpc.co.in/UploadedFiles/Documents/STC.pdf>). Wherever there is a conflict, the provisions in this document shall prevail over those in the STC.