

Special Instruction to the Vendors for AST-01

(Applicable to Present Application)

Note 1: After finalization of present enlistment **AST-01** cycle all **Rate Contract of ash transportation** shall be tendered through AST-01 enlistment and only those vendors who are enlisted in AST-01 will get a chance to participate.

Note 2: "All future Tender(s) for Rate Contracts (RCs) for Ash Transportation Packages in NTPC will be tendered amongst Eligible Enlisted Bidders of AST-01 after completion of this Enlistment process/ cycle. No further claim / request / representation will be entertained from the Parties / Vendors who chose not to participate in the present Enlistment Cycle of AST-01. Any such parties will only get opportunity to Apply for Enlistment in next Enlistment Process/ Cycle".

NTPC LTD

SECTION-II QR & SOW

ENLISTMENT OF VENDORS FOR TRANSPORTATION OF ASH THROUGH ROAD FROM NTPC PLANTS TO VARIOUS DESTINATIONS

1.) REF NO.	WR-I SSC-C&M-0002-(CEG AST-01)
2.) NAME OF WORK	TRANSPORTATION OF ASH THROUGH ROAD FROM NTPC PLANTS TO VARIOUS DESTINATIONS
3.) NAME OF PROJECT / STATION	NTPC Plants
4.) BRIEF DESCRIPTION AND SCOPE OF WORK	<p>NTPC invites applications from eligible vendors for enlistment to be used for the future tenders of Transportation of ash through road from various NTPC plants to different destinations such as Road Projects, Flyover Embankments, Mines, Shoreline Protection Structures, Dam Construction, or any other destination as per the requirement of specific tenders having scope of work as brought out below. The enlisted eligible vendors shall be considered for the various tenders as per their execution capability defined under enlistment document hereafter.</p> <p>Further, the enlisted vendor(s) shall be considered for execution of the value of work up 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 ash through road from various NTPC plants to different destinations of Ash utilization Avenues such as Road Projects, Flyover Embankments, Mines, Shoreline Protection Structures, Dam Construction, or any other destination as per requirement, including work of excavation, Loading of ash from Ash Dyke/Ash Silo of NTPC thermal power plant(s) by mechanical means, Transporting ash in a closed container / dumpers (Covered with tarpaulin) as per CPCB guidelines, Unloading and stacking (if required) at various destinations as per the requirement of specific tenders and complying to statutory norms and government rules.</p> <p>Suitable arrangements have to be made by the Agency for transportation of ash in an environmentally friendly manner. Agency has to ensure that no spillage of ash takes place during transportation. Ash is to be collected from NTPC plants as per availability on as-is-where-is basis. The Agency has to unload the ash throughout the stretch / length of road and other designated areas as indicated in the scope of work for specific tenders.</p>

	Quantity Measurements and Payment Criteria will be specified separately in the Tender against the specific requirements
<p>5.) TECHNICAL CRITERIA FOR QUALIFICATION</p>	<p>An Applicant should have executed the following Works during the last 7 years from the last date of submission of Application:</p> <p>ROUTE 1:</p> <p>Construction of ‘Ash Dyke’/ ‘Embankment’/ ‘Earthen Dam’/ ‘Road’ / ‘Site Levelling’</p> <p>Note for Route 1:</p> <p>a) Strengthening and widening of roads will also be considered under “construction of road”. However, works involving only repair and maintenance of road(s) will not be considered as “construction of road”</p> <p style="text-align: center;">OR</p> <p>ROUTE 2:</p> <p>The Work of Transportation through Road (including loading/unloading) of ‘Ash’ / ‘Any Earthen Material’/ ‘Any Mineral’/ ‘Coal’</p> <p style="text-align: center;">OR</p> <p>ROUTE 3:</p> <p>The Work of “Earthwork including loading/unloading and transportation” in any Civil Works (other than those listed above in Route 1).</p> <p>Note for Route 3:</p> <p>a) Under Route-3 above, an Applicant can submit Application citing details of Civil Works as their experience / reference Works which are not covered under Route-1.</p> <p>In such Civil Works (under Route-3), the executed value of only those BOQ Items shall be considered for the purpose of calculating “Executed Value” which are pertaining to “Earthwork including loading/unloading and transportation”. Earthwork in respect of all kinds of soil, soft rock, hard rock shall be considered for the purpose of evaluation.</p> <p>Common Notes for Route 1 / Route 2 / Route 3</p>

	<p>a) 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.</p> <p>b) For the PO/WO which were awarded prior to preceding 7 years from the last date of submission of application, the value of work executed in the preceding 7 years from the last date of submission of application will be considered.</p> <p>c) Reference work executed by the bidder as a sub-contractor may also be considered provided the certificate issued by main contractor is duly certified by owner specifying the scope of work executed by the sub-contractor in support of qualifying requirements.</p>
<p>6.) FINANCIAL CRITERIA FOR QUALIFICATION</p>	<p>FINANCIAL CRITERIA FOR QUALIFICATION</p> <p>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:</p> <ol style="list-style-type: none"> 1) Annual Turn Over of last 03 (three) financial years 2) Net worth of last FY: Net worth of the Applicant in last FY as on the last date of submission of application should not be less than 100% of the Applicant's paid up share capital. <p>6.1 In case the Applicant does not satisfy the financial criteria, stipulated above on its own, its holding company would be required to meet the stipulated turnover requirements, provided that the net worth of such holding company as on the last day of the preceding financial year is at least equal to or more than the paid-up share capital of the holding company. In such an event, the Applicant would be required to furnish along with its application, a Letter of Undertaking from the holding company, supported by Holding Company's Board Resolution, as per the format enclosed, pledging unconditional and irrevocable financial support for the execution of the Contract by the Applicant in case of award.</p> <p>6.2 Net worth of the Applicant as on the last day of the preceding financial year (as on the last 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</p>

	<p>NOTES:</p> <ol style="list-style-type: none"> 1) Net worth means the sum total of the paid-up share capital and free reserves. Free reserves mean 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. 2) Other income shall not be considered for computing annual turnover. 3) "Holding Company" and "Subsidiary Company" shall have the meaning ascribed to them as per Companies Act of India, in vogue
<p>7.) CRITERIA FOR ENLISTMENT</p> <p>(7.1 Execution capability based on technical criteria</p> <p>and</p> <p>7.2 Execution capability based upon financial requirement)</p>	<p>7.1 Execution capability based on technical criteria:</p> <p>As already brought out, upon completion of the enlistment process, the enlisted vendor(s) shall be considered for execution of the value of work up to INR 50 Crore under a future tender as per their qualification established during the process of 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 PO / Work Order as established during evaluation of Applications (Under Route1 / Route2 / Route3)</p> <p><i>* Illustration(s):</i></p> <ol style="list-style-type: none"> 1)Maximum value of work executed in single PO of applicant is Rs 4 Crore. Then, his execution capability (EC) will be considered as 1.25*4=Rs. 5 Crores. 2)Maximum value of work executed in single PO of applicant is Rs 20 Crore. Then, his execution capability (EC) will be considered as 1.25*20=Rs. 25 Crores. 3)Maximum value of work executed in single PO of applicant is Rs 40 Crore. Then, his execution capability (EC) will be considered as 1.25*40=Rs. 50 Crores.

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.

6.3 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:

1. Copies of the unaudited unconsolidated financial statements of the Applicant along with copies of the audited consolidated financial statements of its Holding Company.
2. 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 Report of the Holding Company

6.4 In cases where audited results for the last preceding financial year as on the last date of submission of application, are not available, the financial results certified by a practicing Chartered Accountant shall be considered acceptable.

In case, an applicant is not able to submit the Certificate from practicing Chartered Accountant certifying its financial parameters, the audited results of three consecutive financial years preceding the last financial year shall be considered for evaluating the financial parameters. Further, a Certificate would be required from the CEO/CFO as per the format enclosed, stating that the Financial results of the Company are under audit as on the last date of submission of application and the Certificate from the practicing Chartered Accountant certifying the financial parameters is not available.

4)Maximum value of work executed in single PO 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 PO of executed value greater than Rs 40 Crore, his execution capability (EC) based on Technical Criteria will be limited and considered upto 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. For Route1

The executed value shall mean the total value of work executed under a single Purchase Order/Work Order/Agreement under Route1. Purchase Order/Work Order/Agreement having executed Value less than INR 4 Crore shall not be considered.

b. For Route2

The executed value shall mean the total value of work executed under a single Purchase Order/Work Order/Agreement under Route2.

However, if the work of "Transportation through Road (including loading/unloading)" 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.

Purchase Order/Work Order/Agreement having executed Value less than INR 4 Crore shall not be considered.

c. For Route3

The executed value shall mean the total value of work executed in respect of BOQ items/works as stipulated under Route3 (as per clause no. 5 above titled as "Technical Criteria" read in conjunction with Note) in a single Purchase Order/Work Order/Agreement. The Purchase Order/Work Order/Agreement having aforesaid executed Value less than INR 4 Crore shall not be considered.

	<p>7.2 Execution capability based upon financial requirement:</p> <p>As per the financial criteria stipulated above, vendors/applicants are required to meet minimum net-worth criteria. Vendors who are meeting the net-worth criteria and are considered for enlistment shall be identified along with their Average Annual Turnover of three years as established during this enlistment process</p>
<p>8. Selection of enlisted vendors for issuing tender enquiry</p>	<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 detailed enlistment document:</p> <ul style="list-style-type: none"> a) Execution capability based on technical criteria. b) Average Annual Turnover of three Years.

-----*End of Section-II*-----