

NTPC LIMITED
(A Govt of India Enterprise)



SECTION-I

NOTICE INVITING APPLICATIONS (NIA)
FOR ENLISTMENT OF VENDORS FOR COAL TRANSPORTATION
TENDERS FOR NTPC COAL MINES

DOCUMENT NO.: SSC-CMHQ-CT-03

NTPC LIMITED
(A Govt of India Enterprise)

NTPC COAL MINING HQs, RANCHI

**NOTICE INVITING APPLICATIONS (NIA) FOR ENLISTMENT OF VENDORS FOR COAL
TRANSPORTATION TENDERS FOR NTPC COAL MINES**

NIA No.: SSC-CMHQ-CT-03

Date: 24.11.2025

Online applications are invited from eligible Vendors for enlistment or updating of credentials of already enlisted vendors for COAL TRANSPORTATION TENDERS FOR NTPC COAL MINES as per Scope of Work, Qualifying Requirements and other Terms & Conditions contained in detailed enlistment documents.

This Enlistment shall be valid for three years (3 years) subject to terms & conditions.

The following documents comprise the Enlistment Documents. Applicants are advised to read all the Enlistment Documents carefully prior to submission of their applications:

- i. Section-I: Notice Inviting Application (NIA)
- ii. Section-II: Qualifying Requirement and Scope of Work (QR & SOW)
- iii. Section-III: Instructions to Applicants (ITA) and Forms, Schedules & Attachments

Eligible Vendors/Applicants may visit <https://ntpctender.ntpc.co.in/> for more details and **apply online** through <https://vdc.ntpc.co.in/> [NTPC Coal Mining Vendor Enlistment Portal Tab]. Application submission and enlistment documents download start date is 24.11.2025 (Tentative). Offline applications **will not be** accepted.

Important Dates:

EVENT	DATE
Start date for submitting applications	24/11/2024
Last date for asking any clarification to the enlistment documents (Pre Bid Conference shall be held ONLINE on 28.11.2024 at 1500 Hrs)	28/11/2024
Last date for receipt of completed application for enlistment through online mode	05/12/2024

Applicants may raise their queries (if any) on or before the above-mentioned date through email on following email addresses:

skvashisth@ntpc.co.in; ksudhakar@ntpc.co.in; rcmajhi@ntpc.co.in

Registered Office: NTPC Bhawan, SCOPE Complex, 7, Institutional Area, Lodhi Road, New Delhi-110003, Corporate Identification Number: L40101DL1975GOI007966

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Note:

- 1) Those vendors who are not able to submit their applications under this NIA up to the last date of submission (as mentioned above/extended deadline, if any) due to any reason whatsoever, may avail opportunity to participate in future during the next cycle of enlistment process.**
- 2) Coal Mining Business of NTPC Limited is under transfer to NTPC Mining Limited (NML). The enlistment for “COAL TRANSPORTATION TENDERS FOR NTPC COAL MINES” may also be used for floating Coal Transportation Tenders by NML in future as per requirements.**
- 3) It is expressly stated that enlistment of vendors by other departments in NTPC Ltd. shall not automatically make them eligible for future tenders to be invited based on subject Enlistment for COAL TRANSPORTATION TENDERS FOR NTPC COAL MINES BY CMHQ, RANCHI.**

-----End of Section I-----

NTPC LIMITED

SECTION-II

QUALIFYING REQUIREMENTS

AND

SCOPE OF WORK

NOTICE INVITING APPLICATIONS (NIA)

FOR ENLISTMENT OF VENDORS FOR COAL TRANSPORTATION
TENDERS FOR NTPC COAL MINES

DOCUMENT NO.: SSC-CMHQ-CT-03

NTPC LTD.	
SECTION-II:QR & SOW	
ENLISTMENT OF VENDORS FOR COAL TRANSPORTATION TENDERS FOR NTPC COAL MINES	
1.) REF NO.	SSC-CMHQ-CT-03
2.) NAME OF WORK	COAL TRANSPORTATION FOR NTPC COAL MINES
3.) NAME OF PROJECT / STATION	NTPC COAL MINES
4.) BRIEF DESCRIPTION AND SCOPE OF WORK	<p>NTPC invites applications from eligible vendors for enlistment or updating of credentials of already enlisted vendors to be used for the future tenders of Coal Transportation for NTPC Coal Mines 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>The scope of work of NTPC tenders will generally include Transportation of Coal from Source Location (such as Mines, Stock Yard or from any other source) to Destination (Railway Siding, Projects, stock Yard or any other destination) as informed by EIC including work of Loading of Coal into tippers by mechanical means, Transporting of Coal, stacking and arrangement of the siding , putting tarpaulin over loaded wagon/trucks, Rake indenting, Railway siding yard management , Liaison with Railway, Rake loading & unloading (if required) by pay loader of minimum specified capacity, high-capacity dozer and other HEMM equipment 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. Agency must ensure that no spillage of coal takes place during transportation.</p> <p>Note: The detail scope of work & other Terms & conditions would be specified separately in the Tender against the specific requirements.</p>

<p>5.) TECHNICAL CRITERIA FOR QUALIFICATION</p>	<p>The applicant should have experience of works (including completed / ongoing contracts) of similar nature (as per the definition of similar nature works given below) during last 7 (seven) years reckoned from the last date of submission of application.</p> <p>Notes for Technical Qualifying Requirements:</p> <ul style="list-style-type: none"> i) The definition of similar nature works for this tender shall be as follows: Excavation & transportation OR Loading & Transportation of coal/ solid mineral/ soil/ ash/ stone/ rejects. ii) The value of executed works shall be given a simple weightage to bring them at current price level by adding 5% for each completed year (total number of days/365) after the end date of experience till the last day of month previous to one in which Enlistment notice has been invited. iii) Necessary documentary evidence including client certificate in support of execution of the work to be submitted along with its application. iv) The Word ‘transportation’ means transportation through road only, including haul roads inside mines area. v) The bidder should have achieved the above specified eligibility criteria during last seven (7) years as on last date of submission of application even if the contract has been started earlier and / or is not completed /closed. vi) Executed Value means basic value (excluding taxes) of the Purchase Order/Work Order/Agreement pertaining to work executed, as defined above. Where Purchase Order/Work Order/Agreement value is composite, the bidder shall give break-up of Composite PO value mentioning Basic Value, taxes etc. vii) 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.
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	<p>viii) Reference works executed by the applicant, as a member of joint Venture / Consortium / Associate can also be considered provided:</p> <ul style="list-style-type: none"> a) 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. b) 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. <p>ix) Experience in JV/consortium with equity participation less than 10% shall not be considered</p>
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<p>6.) 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 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 75% of the Applicant's paid up share capital, failing which their application shall not be considered for enlistment. <p>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:</p> <ol style="list-style-type: none"> 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 <p>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.</p>
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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.

NOTES:

- 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 and Participation in a Tender</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>The enlisted applicants can participate in a particular tender either individually (i.e. Route-1) or by forming a consortium (i.e. Route-2) with other enlisted applicants (maximum three entities are allowed in a consortium).</p> <p>The eligibility for participation in a particular tender shall be as per their Execution Capability based on Technical Criteria and their average annual turnover of the preceding 3 years arrived based on data submitted at the time of enlistment.</p> <p>Definitions of terms for eligibility criteria for a particular tender:</p> <p>CET: Cost Estimate of Tender CP: Completion period in months EC: Execution Capability based on Technical Criteria (as per enlistment) AATO: Average Annual Turn Over of preceding 3 years as per enlistment.</p> <p>EC and AATO shall be arrived as under:</p> <p>I. In case the enlisted applicant participates in a tender individually (Route-1)</p> <p>EC = 2 x Cumulative Value of three highest value work orders executed in any year (consecutive 365 days) during last 7 (seven) years reckoned from the last date of submission of application.</p> <p>Illustration(s):</p> <p>1) If cumulative value of work executed by applicant from maximum three Purchase Order/Work Order/Agreement in any year (consecutive 365 days) is Rs. 2 Crore, then, its execution capability (EC) will be considered as $2 \times 2 = \text{Rs. 4 Crore}$.</p> <p>2) If cumulative value of work executed by applicant from maximum three Purchase Order/Work Order/Agreement in any year (consecutive 365 days) is Rs. 20 Crore, then, its execution capability (EC) will be considered as $2 \times 20 = \text{Rs. 40 Crore}$.</p> <p>AATO = The average annual turnover of the applicant, in the preceding three (3) financial years as on the last date of submission of application (Applicants are required to meet minimum net-worth criteria without which their application shall not be considered for enlistment)</p>
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Minimum Net Worth Criteria for Route-1:

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 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:

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.

II. In case the enlisted applicants form consortium among themselves (maximum three entities) for participation in a particular tender (Route-2)

EC of the Route-2 bidder (i.e. Consortium) shall be the lowest of the values arrived as under:

(a) EC of each Consortium Member =

10 x Highest value of work executed in a single work order in any year (consecutive 365 days) during last 7 (seven) years reckoned from the last date of submission of application.

(b) EC of Consortium = 2 x Cumulative Value of three highest value work orders executed in any year (consecutive 365 days) during last 7 (seven) years reckoned from the last date of submission of application

Illustration(s):

- I. If highest value of single work order executed in any year (consecutive 365 days) during last 7 (seven) years reckoned from the last date of submission of application by consortium member-1 is Rs 4 crore, consortium member-2 is Rs 6 crore, consortium member-3 is Rs 8 crore then EC shall be arrived as under:

EC of consortium member-1 is Rs 40 crore (i.e. 4×10), consortium member-2 is Rs 60 crore (i.e. 6×10), consortium member-3 is Rs 80 crore (i.e. 8×10), and EC of consortium is Rs 36 crore [i.e. $2 \times (4 + 6 + 8)$].

Based on the above, EC of Route-2 applicant shall be Rs 36 crores (i.e. lowest EC value)

- II. If highest value of single work order executed in any year (consecutive 365 days) during last 7 (seven) years reckoned from the last date of submission of application by consortium member-1 is Rs 3 crore, consortium member-2 is Rs 12 crore, consortium member-3 is Rs 25 crore then EC shall be arrived as under:

EC of consortium member-1 is Rs 30 crore (i.e. 3×10), consortium member-2 is Rs 120 crore (i.e. 12×10), consortium member-3 is Rs 250 crore (i.e. 25×10), and EC of consortium is Rs 80 crore [i.e. $2 \times (3 + 12 + 25)$].

Based on the above, EC of Route-2 applicant shall be Rs 30 crores (i.e. lowest EC value)

AATO = The average annual turnover of each member of the consortium, in the preceding three (3) financial years as on the last date of submission of application shall be added together to arrive at the average annual turnover of the consortium (each member of the consortium as well as consortium as a whole are required to meet minimum net-worth criteria without which their application shall not be considered for enlistment)

Minimum Net Worth criteria for Route-2: Net worth of all consortium/ JV members in combined manner should not be less than 100% of their paid up share capital however individually, their Net worth should not be less than 75% of their respective paid up share capitals.

	<p>Notes for Route-2 participation:</p> <p>i) The start date and end date of works claimed for qualifying experience may be of same or different periods (consecutive 365 days) for different consortium members.</p> <p>ii) All the Consortium members shall select one of the members as the “Leader”.</p> <p>iii) Each of the Consortium members will be required to furnish a legally enforceable Consortium Operating Agreement (COA) in a particular tender holding themselves jointly & severally responsible and liable to NTPC to perform all contractual obligations, valid for the entire period of contract, as per the format enclosed in the bidding documents. The number of executants of the COA should not exceed three.</p> <p>Based on the EC and AATO arrived above, bidder shall be eligible for participation in a particular tender provided they meet the following criteria:</p> <p>1) For the tenders having completion period ≤ 1 years AATO \geq CET and EC \geq CET</p> <p>2) For the tenders having completion period > 1 year but less than 2 years AATO \geq CET X12/CP and EC \geq CET</p> <p>3) For the tenders having completion period ≥ 2 years AATO \geq CET X12/CP and EC \geq CET x12/CP</p> <p>Note: No enlisted applicant is permitted to submit more than one bid in a particular tender.</p>
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-----End of Section-II-----

NTPC LIMITED

SECTION-III

INSTRUCTIONS TO APPLICANTS

INSTRUCTIONS TO APPLICATIONS (ITA)

FOR ENLISTMENT OF VENDORS FOR COAL TRANSPORTATION
TENDERS FOR NTPC COAL MINES

DOCUMENT NO.: SSC-CMHQ-CT-03

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1.0 DISCLAIMER

NTPC, reserves the right not to proceed further or to change the process or procedure to be applied. It also reserves the right to decline to discuss further with any applicant applying for enlistment.

2.0 INTRODUCTION

NTPC Limited is the largest power generating company of India. It was incorporated in the year 1975, with the objective of planning, promoting and organizing an integrated development of power stations in India. It has today emerged as an 'Integrated Power Major', with a significant presence in the entire value chain of power generation business.

NTPC is developing 7 coal blocks (including Banhardih coal block of PVUNL), for captive consumption of the coal. The total peak rated annual production capacity of these coal blocks is estimated to be 71 MMT to fuel approximately 15 GW power production of NTPC.

NTPC plans for enlistment of eligible vendors meeting the specified eligibility criteria and willing to be associated with NTPC for the future tenders of Coal Transportation for NTPC Coal Mines as per the requirement of specific tenders.

The intent of this enlistment is to identify and enlist prospective vendors / contractors who meet Technical Qualifying Requirements and financial parameters as explained in Section-II QR & SOW enclosed herewith. This enlistment will be applicable for all NTPC Coal Mines. Vendor enlistment process shall be a continuous process with the option to add / delete/ modify the list of eligible vendors. Left out vendors, desirous to get their names enlisted/ updated in the approved list, can do so in the subsequent cycle only.

3.0 SCOPE OF WORK

The scope of work of NTPC tenders will generally include loading coal into Tippers by mechanical means & transportation from the Surface Coal Stock yard / Stacker Re-claimer / any other stockpile of Coal Mining Projects as directed by EIC (Engineer in charge) up to the specified destination. Coal is also to be loaded into the railway wagons by pay loader of minimum specified capacity, high-capacity dozer and other HEMM equipment. The scope may also include maintenance of Railway Siding & Associated Miscellaneous Works as per the requirement of specific tenders and complying to statutory norms and government rules.

Suitable arrangements must be made by the Agency for transportation of coal in an environmentally friendly manner. Agency must ensure that no spillage of coal takes place during transportation.

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Quantity Measurement and Payment Criterion will be specified separately in the Tender against the specific requirements.

4.1 GENERAL INFORMATION

4.2 Applicants are required to submit the information as mentioned below along with their supporting documents/certificates in the attached formats as sought in Schedule-A, Schedule-B and Schedule-C.

4.3 Throughout these enlistment documents, the term “Eligibility Criteria” and “Qualifying Requirements” appearing anywhere in the documents shall have the same meaning and are synonymous with each other. The eligibility criteria are available in Section-II QR & SOW.

4.4 The information furnished with the application for enlistment must be sufficient for processing and assessment of the applicant.

4.5 All costs incurred by the applicant for preparing and submitting the application for enlistment, in providing clarification or any other expenses whatsoever shall be borne by applicants themselves.

5.1 INSTRUCTIONS TO THE APPLICANTS

5.2 INSTRUCTION FOR APPLYING ONLINE: Applicants may visit <https://vdc.ntpc.co.in/> [NTPC Coal Mining Vendor Enlistment Portal Tab] to apply online for this enlistment. Applicants may use the help document available on the portal for registration and submission of application.

5.3 SUBMISSION OF APPLICATION FOR ENLISTMENT:

- (a) Applicants shall provide the details of three (3) reference works in PO Related Information Tab. Relevant documents like copies of authentic work order, client's completion certificate /Owner certificate as applicable, contract agreement etc. against each of these reference works, shall be uploaded by the applicant at the portal.

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The reference works whose details have been provided by the applicant shall only be considered for ascertaining the applicant's compliance to the specified eligibility criteria.

Information as sought regarding the reference works are required to be filled in the format titled as 'Attachment- 2' of Schedule –A (as provided in this document) and uploaded in the portal. Applicants are required to fill in the requisite client details such as name, designation and contact details etc. without fail.

No claim without supporting documents shall be accepted. However, in case the reference work pertains to the contract(s)/works executed by applicant for NTPC in the past, applicants are not required to enclose client certificate(s) for such reference works.

(b) Applicants will also be required to furnish their audited financial statements along with all their annexures in support of following data to be provided on enlistment portal:

1. Annual Turn Over and P&L Account of preceding 03 (three) financial years reckoned from the last date of submission of application.
2. Net worth of preceding Financial Year reckoned from the last date of submission of application.

(c) No change or substitution in respect of reference works, as originally submitted by the applicants on portal, by new/additional reference works for meeting the specified eligibility criteria shall be permitted. As such, evaluation of applications will be carried out on the basis of details of reference works originally submitted by the applicant on the portal. Further, if required, during evaluation any query/clarification shall only be sought in respect of the reference works submitted originally on the portal.

(d) Documents to be submitted

Applicants to ensure that before starting "online filling of data and uploading documents" all the documents to be uploaded as per the list (given below) are converted in PDF format and separate PDF file of each document are readily available with them. This will help to complete the document uploading without any trouble. The following documents are to be uploaded in the portal:

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1. Permanent Account No (PAN) Copy of PAN card
2. GST Registration - GST registration certificate
3. UDYAM certificate.
4. In respect of financial criteria for qualification –Audited annual reports i.e. Profit & Loss Account & Balance Sheet for three (3) years as required in the qualifying requirement as sought in QR & SOW (Section-II).
5. In respect of technical criteria for qualification - Copies of Purchase orders/ work orders as mentioned in the eligibility criteria, execution proof like execution certificate/ completion certificate/ certified RA bills / any other document etc. indicating PO No, execution value, period of contract etc.
6. Date of incorporation - to be mentioned and certificate of incorporation to be uploaded.
7. Change of legal status of organization: Details to be filled and uploaded.
8. Type of company: Proprietorship, partnership etc.
9. GeM Seller ID

(f) Signing of the Application

The application for enlistment along with all supporting documents/ annexure/ attachments shall be certified by a person duly authorized to sign and submit the application for enlistment. The authorization shall be supported by a Power of Attorney and shall be submitted online along with application.

- (g) No physical document submission is required for this enlistment process. Any application received through a medium other than <https://vdc.ntpc.co.in/> [NTPC Coal Mining Vendor Enlistment Portal Tab] shall not be entertained.

- (h) The employer at its discretion may seek any clarification and/or documentary evidence only for the reference works submitted in the portal. However, no change or substitution of the reference works by new/additional works for conforming to the specified eligibility criteria shall be sought, offered or permitted.

- 5.4 All costs incurred by applicant for preparing and submitting the application for enlistment, in providing clarification or any other expenses whatsoever shall be borne by applicants themselves.
- 5.5 This enlistment document is not transferable.
- 5.6 The language for submission of application for enlistment shall be English. The units of measurement shall be metric systems of measures, unless otherwise specified elsewhere.
- 5.7 Financial data should be given in Indian rupees only.

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- 5.8 The enclosed 'Schedules' shall be filled in completely and wherever not applicable it should be written as "Not Applicable". Applicants should furnish the required information and desist from writing "shall be furnished later" or submitting the blank form. Such incomplete applications may run the risk of rejection.

5.9 ADDENDA/CORRIGENDA/ AMENDMENTS TO ENLISTMENT DOCUMENTS

Addenda/Corrigenda/Amendment to the enlistment documents may be posted on the website prior to the last date notified for receipt of applications for enlistment. Prospective applicants can view the same once they are uploaded in the website. The Applicants shall suitably take into consideration such Addenda / Corrigenda/ Amendment while submitting their application for enlistment. The amendment will be binding on the applicants and it will be assumed that the information contained therein has been taken into account by the applicants in their application.

In order to provide reasonable time to prospective applicants for taking an Addenda/ Corrigenda/ Amendment into account for preparing their application for enlistment, the employer may, at its discretion, extend the last date notified for receipt of applications.

5.10 CLARIFICATION TO ENLISTMENT DOCUMENT

A prospective applicant requiring any clarification to the enlistment document may notify the employer through e-mail on email addresses indicated in Notice Inviting application not later than the specified date. Any request for clarification received after the last date as mentioned in NIA or amendments (if any) will not be entertained.

5.11 CLARIFICATION/QUERY AFTER OPENING OF APPLICATIONS

During the period when the applications are under consideration, applicants are advised to refrain from contacting by any means, the employer and /or his employees/representatives on matters related to the applications under consideration. Any effort made by an applicant to influence the employer's processing of applications or enlistment may result in rejection of the applicant's application for enlistment.

During the evaluation of the applications, the employer may, at its discretion, ask the applicant for clarifications to the application including documentary evidence pertaining to the reference works declared at portal for the purpose of meeting eligibility criteria specified or any other document mentioned in the enlistment document. The request for clarification and the response shall be in writing and no change in the substance of the application including substitution of reference works in the application by new/additional works for conforming to eligibility criteria shall be sought, offered or permitted.

5.12 MODIFICATION, SUBSTITUTION AND WITHDRAWAL OF APPLICATION FOR ENLISTMENT

No application shall be modified or substituted by the applicant after the last date of submission of application.

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- 5.13 Any information / data furnished by the applicant found to be incorrect or false or misleading at any point of time would render him liable to be debarred from the enlistment / tendering / taking up of work in NTPC.
- 5.14 NTPC reserves the right to cross check and confirm the information details furnished by the applicant.
- 5.15 The applicant shall be either a single entity (Company/ proprietorship firm/ partnership firm) or a consortium of up to three entities (Company/ proprietorship firm/ partnership firm).
- 5.16 Bottom Note on each page of the formats enclosed in the enlistment documents should not be removed by the applicants.
- 5.17 The applicant shall strictly adhere to the fraud prevention/debarment policy of NTPC displayed on its tender website <https://ntpctender.ntpc.co.in/> and shall immediately apprise the employer about any fraud or suspected fraud as soon as it comes to their notice. (A certificate to this effect shall be furnished by the applicant along with his application as per the format enclosed).

6.0 IMPORTANT DATES

The important dates w.r.t to this enlistment are mentioned in the Notice Inviting Application (NIA). Applicants are advised to make sure that the submission of application is completed on or before the last date of submission of application.

7.0 EVALUATION OF APPLICATIONS FOR ENLISTMENT

- 7.1 Applicants are required to furnish the details of past experience as per format enclosed in the documents and enclose relevant documents like copies of authentic work order, completion certificate, agreements etc. supporting the details/data provided in the format. No claims without supporting documents shall be accepted in this regard. However, if any of the reference work pertains to the Contract(s)/Works executed by Applicant for NTPC in the past then in respect of such Contract(s)/Works, the Applicant shall not be required to enclose Client Certificate(s) along with its bid.
- 7.2 For the purpose of enlistment, applicants shall be evaluated on the basis of criteria mentioned in the Qualifying Requirements. The reference works whose details have been provided by the applicant shall only be considered for ascertaining the applicant's compliance to the specified eligibility criteria.

Evaluation of Execution Capability (EC) will be carried out on the basis of details as per above reference works. For the purpose of establishing execution capability (based on technical criteria) of the vendor/applicant, the reference works declared by the applicant shall be scrutinized. The 3 executed value (established as per QR and in accordance with the process mentioned herein), under these reference works, shall be considered for determining the execution capability. The execution capability of the applicant shall be 2 times the cumulative Value of work executed from maximum three Purchase Order/Work Order/Agreement in any year (consecutive 365 days) during last 7 (seven) years reckoned from the last date of submission of application.

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- 7.3 All Applicants who are required to submit the details of the past experiences, shall submit all the documents, in support of Technical Criteria (such as copy of Purchase Orders/ Work Orders/ Contract Agreements/ Client Certificates etc.), duly certified and verified for authenticity from Independent Statutory Auditor of their Company or specified Third-Party Inspection Agency (TPIA).

Further, wherever information can be drawn from books of accounts, records and other relevant documents, Applicants can also submit a certificate issued by their Independent Statutory Auditor certifying the data required for meeting the Technical Criteria.

Such Applicants shall be required to submit duly certified and verified documents from their Statutory Auditors or specified TPIA in support of meeting Technical Criteria along with a certificate regarding verification of authenticity of documents as per the format placed at Appendix I to Attachment-2-Schedule-A (Undertaking from Statutory Auditor) and/ or Appendix II to Attachment-2-Schedule-A (Undertaking from TPIA). All the documents submitted by the Applicants in support of meeting Technical Criteria shall be digitally signed by the Statutory Auditor and/ or specified TPIA.

- 7.4 In case documents are certified & verified for authenticity through TPIA, the verification and certification of authenticity of documents is acceptable from any of the TPIAs as mentioned at NTPC tender website (<https://ntpc tender.ntpc.co.in/>) under “Policy for Document Authentication Process in Tenders of NTPC Ltd” tab. However, Bidders must verify the accreditation validity of the designated TPIA before proceeding to engage them for document certification.:

The following website may be referred for contact details and accreditation validity of above mentioned TPIAs:

<https://nabcb.qci.org.in/inspection-body/>

Any document pertaining to reference works/ plants in support of Technical QR, which is not certified by specified TPIA or Statutory Auditor of the bidder, as per the format enclosed with the bidding documents, shall not be considered verified/ certified for the purpose of evaluation, and the bid shall be liable for rejection.

The Applicants shall be responsible to get their documents/ credentials in support of Technical Criteria verified & certified by their Statutory Auditor(s) and/ or specified TPIAs. All the costs pertaining to third party verification and certification (including those by statutory auditors) shall be borne by the Applicants. Employer shall have no liability (financial or otherwise) towards the same and shall not be liable for any claim/ dispute between the Applicants and TPIA and/ or Statutory Auditor.

- 7.5 The documents in support of the financial data (net-worth & turnover etc.) shall be scrutinized and financial data of all the vendors who are meeting the qualifying requirements shall be maintained along with the execution capability and utilized during selection for issuance of specific tender enquiry.
- 7.6 Reference works executed by the applicant, as a member of joint Venture / Consortium / Associate can also be considered provided:

- a) 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.

NTPC LIMITED

- b) In case the reference work has been executed by the applicant in an integrated joint venture wherein allocation of scope of work and break-up of quantities between the partners is not clearly specified in the integrated joint venture Agreement, then for establishing the eligibility as per technical criteria of Section-II QR& SOW, 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.

- 7.7 Even though an applicant may satisfy the above requirements, he would be liable to disqualification if he has made misleading or false representation or deliberately suppress the information in the forms, statements and enclosures required in the application for enlistment.

The employer reserves the right to assess the capabilities and capacity of the applicant to perform the contract, should the circumstances warrant such assessment in the overall interest of the employer. NTPC shall evaluate the credentials uploaded by the applicant to determine as to whether technical aspects and financial requirements are in accordance with the Qualifying Requirements (QR)/Eligibility Criteria. Subsequently, at the sole discretion of NTPC, physical assessment of establishment (s)/ verification of document (s)/ may also be carried out, if felt necessary by NTPC. Vendor should not have any objection to such physical assessment / verification etc.

- 7.8 The decision of NTPC LIMITED in this regard shall be final and binding. NTPC shall evaluate only those cases which are complete in all respects and which are prima-facie found to be qualified based on the responses given.

NTPC LIMITED

7.9 Applicants who shall meet the eligibility criteria (as defined in QR & SOW-Section-II) shall be recommended for enlistment.

7.10 After approval, certificate of enlistment shall also be issued by NTPC to the approved vendors.

7.11 Subsequent to enlistment, only the enlisted agencies, based upon their established execution capability (through this enlistment process) shall be invited to submit the bids in respect of specific enquiry of projects / stations of NTPC for the subject works till the time enlistment is valid.

8.0 CONDITION OF CANCELLATION OF ENLISTED AGENCIES AND REVIEW OF ENLSITMENT

8.1 The Enlistment of an agency may be cancelled by NTPC in case of poor performance, abandoning of allotted work, delay in completion of work, bankruptcy and activities detrimental to the interest of NTPC. The decision of NTPC in this regard shall be final and binding on the agency.

8.2 In case of change of name of the enlisted vendor without change of constitution/partners, the same shall be intimated along with proof of such change to NTPC immediately but in no case later than thirty (30) days from the date of such change, failing which the enlistment of agency/contractor by that name may be cancelled.

8.3 The performance of the contractors shall be reviewed periodically based on the feedback given by the Head of Coal Mines/representative/EIC.

8.4 If any of the enlisted vendor is found to have been involved in any fraudulent activities like submission of fake credentials/ documents/ information as defined in NTPC Fraud Prevention Policy/ Debarment Policy during pre-award/ award/ execution stage, action in line with the said policy shall be taken.

8.5 Yearly Review & Updating of vendor enlistment:

After the completion of initial vendor enlistment of subject work, the enlistment process shall again be re-opened after a period of 1 Year and shall be kept open further so that all the new vendors who could not participate in the enlistment process can participate and submit their application for enlistment at any time.

New vendors, if found qualified in line with the enlistment procedure mentioned herein, shall be recommended for inclusion in the enlisted vendor list. These new vendors will also be enlisted for a period of 3 years from the date of their enlistment.

Already enlisted vendors: Vendor enlisted through this enlistment process, need not apply again in subsequent cycles. However, if an already enlisted vendor desires to update his execution capability and/or turnover, he may apply in subsequent cycles of enlistment.

NTPC LIMITED

Already enlisted vendors should apply, at least 1 cycle before the expiry of their enlistment, with their revised credentials to be enlisted for further period. In such case, evaluation shall be done based on the revised credentials during the last seven years (execution) / three financial years (average annual turnover) & net worth requirement as applicable from the date of such application.

If the revised credentials are found to be in order, their enlistment shall be upgraded /extended accordingly in line with the procedure defined in the enlistment process.

Vendors who fail to apply at least 1 cycle before the expiry period of their enlistment, shall not be considered eligible for issue of tender enquiry upon expiry of their enlistment period automatically. Such vendors need to apply afresh for enlistment.

9.0 PERIOD OF ENLISTMENT

This enlistment shall be valid for a period of Three (03) years from the date of Enlistment.

10.0 RIGHT TO ACCEPT OR REJECT APPLICATION

Notwithstanding anything contained in this enlistment document, NTPC reserves the right to accept or reject any application and annul the process and reject all applications at any time without any liability or any obligation for such acceptance, rejection or annulment without assigning any reasons whatsoever.

10.1 Applicant may note that mere submission of application for enlistment and/or submission of additional information do not automatically entitle him to claim for enlistment.

11.0 SELECTION OF ENLISTED VENDORS FOR ISSUING TENDER ENQUIRY:

Enlistment will be done based on their qualification against eligibility criteria mentioned in Section-II QR & SOW.

NTPC LIMITED

12.0 IMPORTANT NOTES:

1. Notwithstanding anything stated above, the employer reserves the right to assess the capabilities and capacity of the applicant / its collaborators/ associates / subsidiaries / group companies to perform the contract, should the circumstances warrant such assessment in the overall interest of the employer.
2. Subsequent to enlistment, only the enlisted agencies may be allowed to submit the bids in respect of specific enquiry for works covered under the scope of this enlistment till the time enlistment is valid.
3. NTPC reserves the right to reject any or all applications or cancel/withdraw the 'Notice Inviting Applications' without assigning any reasons whatsoever and in such case no applicant or intending applicant shall have any claim arising out of such action. NTPC shall also have the right to verify any information/document furnished by the applicant/ agency/company/ firm and inspect the works carried out by the applicant/ agency/company/firm, if so required.
4. Applicants who respond within the due date with application as mentioned above against this advertisement will only be considered for enlistment.
5. Transfer of enlistment documents purchased by one intending applicant to another is not permissible.
6. Subcontracting Provision for Works Packages:

The enlisted contractor shall only be given the award based on evaluation of the bids. Generally subcontracting of the work will not be permitted. If any subcontractor is found executing the contract awarded to the enlisted contractor without approval of NTPC, action against the enlisted contractor will be taken as per NTPC Debarment Policy.

7. DEBARMENT POLICY

The debarment policy of NTPC available on our website <https://ntpctender.ntpc.co.in/> shall be applicable.

8. FRAUD PREVENTION POLICY

Provisions of Fraud Prevention policy shall apply for the enlistments being done. The applicant shall strictly adhere to the Fraud Prevention policy of NTPC which is available on our website <https://ntpctender.ntpc.co.in/> the contract.

9. INTEGRITY PACT

Applicants submitting their applications are deemed to unconditionally accept the "Integrity Pact (IP)" as per Employer's format. It may also be noted that the Integrity Pact shall form an integral part of the Contract, if awarded in future.

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10. Restrictions on procurement from a Bidder of a country which shares a land border with India

Any Bidder (including its Collaborator/ Associate/ DJU Partner/ JV partner/ Consortium Member/ Assignee, wherever applicable) from a country which shares a land border with India will be eligible to apply for enlistment only if bidder is registered with the Competent Authority as per relevant guidelines of Govt. of India.

11. Anti-Bribery and Anti-Corruption (ABAC) Policy:

The Applicant and its employees along with its Associate/ Collaborator/ Sub-Contractors / Sub-Vendors / Consultants / Service Providers and all other persons associated with Employer during enlistment process and in the performance of Contract shall strictly adhere to Employer's Anti-Bribery and Anti-Corruption (ABAC) Policy displayed on website <https://ntpctender.ntpc.co.in/> under section 'policy docs'.

The Applicant and its employees along with its Associate/ Collaborator/ Sub-Contractors / Sub-Vendors / Consultants / Service Providers and all other persons associated with Employer during enlistment process and in the performance of Contract shall comply with all applicable laws and regulations relating to anti-corruption and anti-bribery and the ABAC Policy of Employer.

12. CONFLICT OF INTEREST

An applicant shall not have conflict of interest with other applicants. Such conflict of interest can lead to anti-competitive practices to the detriment of Employer's interests. An applicant may be considered to have a conflict of interest with one or more parties in the enlistment process, if:

- a) they directly or indirectly control, or are controlled by or are under common control of another entity; or
- b) they have the same legal representative/agent for purposes of their bids; or
- c) they have relationship with each other, directly or through common third party(ies), that puts them in a position to have access to information about or influence on the bid of another Bidder; or
- d) Bidder and/or any of its allied entity(ies), which directly or indirectly control(s) or is(are) controlled by or is(are) under common control of another entity, has(ve) participated as a consultant in the preparation of the design or technical specifications of the contract that is the subject of the tender; or
- e) Bidder participates in more than one bid in this bidding process.

For the purposes of this clause the term 'control' shall have the following meaning:

"Control" shall include the right to appoint majority of the directors or to control the management or policy decisions exercisable by a person or persons acting individually or in concert, directly or indirectly, including by virtue of their shareholding or management rights or shareholders' agreements or voting agreements or in any other manner.

Note: If two or more CPSEs/State PSEs participate in a tender, they will not be deemed to fall under the 'Conflict of Interest' provisions solely because they are under common control

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of Government of India / State Government.

Applicants submitting their applications shall be deemed to have accepted their compliance to "Conflict of Interest". Submission of Application shall be considered as their confirmation that they have read and understood the Clause regarding "Conflict of Interest" and their application is in compliance to this clause.

In case it is established that an applicant has provided any false information in pursuance of the aforesaid Clause, then its application shall be rejected.

NTPC LIMITED

FORMS, SCHEDULES AND ATTACHMENTS

NTPC LIMITED

APPLICATION FORM

ENLISTMENT OF VENDORS FOR COAL TRANSPORTATION TENDERS FOR NTPC COAL MINES

Doc. No: SSC-CMHQ-CT-03

To,

NTPC Ltd.
Additional General Manager (C&M)
SSC-CMHQ
Ranchi

Dear Sir,

1.0 Having examined the Enlistment document no. SSC-CMHQ-CT-03 including subsequent amendments_____and clarifications_____,if any (insert numbers), the receipt of which is hereby acknowledged, we the undersigned, furnish our details in full conformity with said Enlistment Document.

2.1 Attachments to the Application form:

In line with the requirements of the Enlistment documents, we enclose herewith the following Attachments to the Application for Enlistment:

- (a) General Particulars /Details of The Applicant.
- (b) A power of attorney duly digitally signed digitally indicating that the person(s) signing the application has/have the authority to sign the application and thus the application is binding upon us. The Power of Attorney to be submitted to NTPC in line with the provisions mentioned at clause 5.01 of Enlistment document. Similarly, letter of undertaking as per NTPC format to be submitted online.
- (c) Attachment- 2 & 3 of Schedule A: The documentary evidences establishing eligibility criteria stipulated in the enlistment documents. The qualification data has been furnished as per your

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formats enclosed in Schedules of the Enlistment documents.

- (d) Details of fatal accidents occurred during the last three years at works executed by us as per your format enclosed in Schedule-C of the enlistment documents.
- (e) Confirmation that if any information / data furnished with our application is found incorrect, false or misleading, it would render us liable to be debarred from enlistment / tendering / taking up work in NTPC as per your format enclosed in Schedule-C of the enlistment documents

- 3.0 We declare that we have studied the enlistment documents and we are making this application with a stipulation that subsequent to enlistment, only the enlisted agencies may be invited to submit the bids in respect of specific enquiry for subject work by NTPC till the time Enlistment is valid.
- 4.0 We understand that mere submission of filled in application for enlistment and / or submission of additional information do not automatically entitle us to claim for qualification / enlistment. Further, we understand that NTPC at its sole discretion may re-invite or modify or annul the process without assigning reason whatsoever.
- 5.0 We, hereby, declare that only the persons or firms interested in this application as principals are named here and that no other persons or firms other than those mentioned herein have any interest in this application or in the contract to be entered into, if awarded at the time of project specific enquiry after enlistment, that this application is made without any connection with any other person, firm or party likewise submitting an application, is in all respects for and in good faith, without collusion or fraud.
- 6.0 We also agree to upload all the relevant documents pertaining to our application for subject enlistment in the name of our company failing which our application for enlistment is liable to be rejected.

Thanking you,

Yours

NTPC LIMITED

faithfully,

Date: _____

Place: _____

Name of Authorized Person

Designation _____

Business Address:

Fax No.: _____

Phone No.: _____

Note : Applicants may note that prescribed proforma has been enclosed for
Power of Attorney.

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SCHEDULE A

NTPC LIMITED

(Attachment-1 Part 1) SCHEDULE –A

APPLICATION FOR ENLISTMENT OF VENDORS FOR COAL TRANSPORTATION TENDERS FOR NTPC COAL MINES

DOCUMENT NO. : SSC-CMHQ-CT-03

GENERAL PARTICULARS /DETAILS OF THE APPLICANT

1. Applicant's Name & Address :
 - a) Name :_____
 - b) Address :_____
 - c) Email ID :_____
 - d) Vendor code in NTPC: (if available)
 - e) GePNIC id:
 - f) GeM Seller ID:
2. Name & Designation of the Authorized Signatory
who has been given Power of Attorney to sign and
submit the Application on behalf of the Applicant :_____
3. Contact Details of the Authorized Signatory :_____
 - a) Landline No. :_____
 - b) Mobile No. :_____
 - c) Email ID :_____
- 4.. Name & Designation of Alternate Contact person :
 - a) Landline No.:_____
 - b) Mobile No. :_____
 - c) Email ID :_____

Date : _____
Name & Sign. of authorized person_____

Place : _____

Designation_____

NTPC LIMITED

Attachment –1 Part 2

SCHEDULE –A

APPLICATION FOR ENLISTMENT OF VENDORS FOR COAL TRANSPORTATION TENDERS FOR NTPC COAL MINES

DOCUMENT NO. : SSC-CMHQ-CT-03

Applicant's Name & Address : _____

Declaration regarding Ownership/Partnership cum submission of single Application and no common controlling shareholders or ownership or cross holding directly and/or indirectly in any manner whatsoever with any other participating applicant and the details of Foreign Principals of Indian Bidders:

To,
NTPC Ltd.
Additional General Manager (C&M)
SSC-CMHQ
Ranchi

Dear Sir,

1. We have not submitted application in conjunction with any other applicant or have not submitted application in any other name, either directly or indirectly.
2. We hereby declare details of Directors/ Shareholders of Company's/Partnership Firm/ Proprietorship Firm as under:

S. No	Name of Director / Shareholder / Partner / Proprietor
1	
2	
3	
4	
5	
6	

If it is found at any stage of enlistment or during currency of the Contract (if awarded), that we have any common controlling shareholders or ownership, directly or indirectly, with any other participating vendor(s)/applicant, then our enlistment or Contract (if awarded) shall be cancelled / terminated.

NTPC LIMITED

Details of Foreign Principals (if applicable):

We hereby declare the details of our foreign principals or associates as below:

S. No	Name of foreign principals or associates	Address
1		
2		
3		
4		
5		
6		

1. We fully understand that NTPC would deal directly and exclusively with us for the subject enlistment / Contract (if awarded) and no agency arrangements are acceptable to NTPC.
2. We, hereby, undertake that we shall deal directly with NTPC and have not engaged any Agent to deal with NTPC for the subject tender.

Date:

Signature)

(Printed Name).....

Place:

(Designation)

(Seal)

NTPC LIMITED

(Attachment-2) SCHEDULE –A

APPLICATION FOR ENLISTMENT OF VENDORS FOR COAL TRANSPORTATION TENDERS FOR NTPC COAL MINES

Doc. No: SSC-CMHQ-CT-03

Applicant's Name & Address : _____

To,

NTPC Ltd.
Additional General Manager (C&M)
SSC-CMHQ
Ranchi

1.1.1 In order to satisfy the requirements for TECHNICAL CRITERIA of Eligibility stipulated at in QR & SOW (Section-II), We declare that We have executed the following works, within the preceding seven (7) years reckoned as on last date notified for receipt of Application for Enlistment, as per details given below :

SN	Description	Reference work 1	Reference work 2	Reference work 3
A	Name of Work			
1	Client detail			
	1. Site Name where the work was done:			
	2. Client name:			

NTPC LIMITED

SN	Description	Reference work 1	Reference work 2	Reference work 3
	3. Address:			
	4. Contact Person			
	5. Phone			
	6. Fax:			
	7. E-mail address			
2	Contract Number & Date of award			
3a	Value of Contract	INR.....	INR.....	INR.....
	Executed value excl. GST in any year as defined in QR & SOW	INR.....	INR.....	INR.....
4	Period	From..... To.....	From..... To.....	From..... To.....
5	Whether Documentary evidence/certificate in support of above data enclosed? (including but not limited to)	PurchaseOrder/Work Order copy: Yes/No Detailed BOQ: Yes/No Technical Specifications: Yes/No	PurchaseOrder/Work Order copy: Yes/No Detailed BOQ: Yes/No Technical Specifications: Yes/No	PurchaseOrder/Work Order copy: Yes/No Detailed BOQ: Yes/No Technical Specifications: Yes/No

NTPC LIMITED

SN	Description	Reference work 1	Reference work 2	Reference work 3
		Completion certificate/Execution certificate: Yes/No	Completion certificate/Execution certificate: Yes/No	Completion certificate/Execution certificate: Yes/No

Note: (i) Certificate from clients in support of meeting above requirements
with Scope of Work is enclosed at Annexure_____

Date : _____

Name of authorized person_____

Place : _____

Designation_____

Any information/date furnished by the applicant found to be incorrect or
false or misleading at any point of time would render him liable to be
debarred from the Enlistment/tendering /taking up of work in NTPC.

Undertaking from Independent Statutory Auditor

(On letter head digitally signed by a person duly authorized to Sign on behalf of the Statutory Auditor)

Bid Ref. No:

DATE:

To,
NTPC Ltd.

.....

Subject: Authentication of veracity of documents submitted by M/s in support of meeting the Qualifying Requirements

Ref : NIA No.

Name of Enlistment:

Dear Sir,

M/s. (hereinafter called Applicant) having Registered office at..... intend to participate in above referred enlistment.

We, M/s has been appointed as Statutory Auditor for the Applicant
(Relevant documents on our appointment attached)

The enlistment condition stipulates that the applicant shall submit supporting Documents pertaining to Technical Qualifying Requirement duly verified and certified by Statutory Auditor.

In this regard, it is hereby confirmed that we have examined the following documents, which are also attached with this letter. The same has been verified from the Original Documents and/ or Client for authenticity.

We hereby confirm that the following documents are found to be genuine and authentic.

1. Doc ref. no. dated (name of Documents)
2. Doc ref. no. dated (name of Documents)
3.

All the aforesaid documents have been digitally signed by us as a certificate of authenticity.

*Further, we have examined the books of accounts, records, and other relevant documents, along with other necessary information and explanations furnished by M/s. (Applicant) and hereby certify following:

.....

This certificate is issued at the request of M/s (Bidder) for the purpose of participating in subject enlistment.

Thanking you,

.....

* Strike off, whichever is not applicable.

**Undertaking from Third Party Inspection Agency
(on letter head digitally signed by a person duly authorized to Sign on behalf of the
TPIA)**

Ref.: _____

Date: _____

To,
NTPC Ltd.
.....

Dear Sir,

Subject: Authentication of veracity of documents submitted by M/s in support of meeting the Qualifying Requirements

Ref : NIA No.

Name of Enlistment:

M/s. (hereinafter called Applicant) having Registered office at..... intend to participate in above referred enlistment.

The enlistment condition stipulates that the applicant shall submit supporting Documents pertaining to Qualifying Requirement duly verified and certified by a specified independent Third Party Inspection Agency as per the list mentioned in the documents.

In this regard, it is hereby confirmed that we have examined the following documents, which are also attached with this letter. The same has been verified from the Original Documents and / or Client for authenticity.

We hereby confirm that the following documents are found to be genuine and authentic.

1. Doc ref. no. dated (name of Documents)
2. Doc ref. no. dated (name of Documents)
3.

All the aforesaid documents have been digitally signed by us as a certificate of authenticity.

We further confirm that we neither have any vested interest in aforesaid enlistment nor have any conflict of interest in respect of above enlistment.

This certificate is issued at the request of M/s (Applicant) for the purpose of participating in the subject enlistment.

Thanking you,
.....

NTPC LIMITED

(Attachment-3) SCHEDULE-A

ENLISTMENT OF VENDORS FOR COAL TRANSPORTATION TENDERS FOR NTPC COAL MINES

Doc. No: SSC-CMHQ-CT-03

Applicant's Name & Address :.....

.....

Details pertaining to financial criteria for the subject enlistment

We confirm that our average annual turnover in the preceding three (3) financial years as on last date notified for receipt of application for enlistment is as following. In support of above, we are enclosing audited financial statements.

Sl.No	Financial Year	Amount in Rs.
1.		
2.		
3.		
4.	Average Annual Turnover for the preceding three (3) Financial Years as on last date of submission of application	
5.	We have enclosed Audited financial statements for the last 3 financial years at	Annexure to Attachment-3
6.	<p>Since we are not able to furnish our audited financial statements, on stand alone entity basis, we are submitting the following documents for substantiation of our Qualification :</p> <p>(a) Copies of unaudited unconsolidated financial statements of the applicant alongwith copies of the audited consolidated financial statements of our Holding Company for the last 3 years enclosed at Annexure to this Attachment 3.</p> <p>(b) Certificate from the CEO/CFO of the Holding company stating that the unaudited unconsolidated financial statements form part of the consolidated Financial Statements of the Holding Company, is</p>	

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	enclosed as per the format at Appendix-A to this Attachment-3.	Enclosed at Annexure
7.	<p>Audited results for the last financial year as on the last date of submission of application is enclosed</p> <p>In case not enclosed, financial results certified by a practicing chartered accountant enclosed</p> <p>In case financial results certified by a practicing chartered accountant not enclosed, then Audited financial statements for FY also enclosed.</p> <p>Further, a Certificate from the CEO/CFO of the Applicant stating that the Financial results of 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, is enclosed at Annexure as per the format at Appendix-C to this Attachment-3.</p>	<p>YES <input type="checkbox"/>*/NO*<input type="checkbox"/></p> <p>YES <input type="checkbox"/>*/NO*<input type="checkbox"/></p> <p>Enclosed at Annexure</p> <p>YES <input type="checkbox"/>*/NO*<input type="checkbox"/></p> <p>Enclosed at Annexure</p>

- a) Since we do not satisfy the Financial Criteria stipulated in Section-II on our Own, we give below the following details of our Holding Company :

1. Name and Address of the Holding Company:
.....
2. Turnover of the Holding Company with following details:

Sl.No	Financial Year	Amount in INR
a)		
b)		
c)		
d)	Average Annual Turnover for the preceding three (3) Financial Years as on last date of submission of application:	
e)	We have enclosed audited Financial Statements for the preceding three (3) Financial years	Annexure to Attachment-3

NTPC LIMITED

Sl. No	Description	As on last day of the preceding financial year
3.	Paid-up Share Capital of the Holding Company	
4.	Net Worth of the Holding Company	
5.	%age of Net worth to Paid-up Share Capital of the Holding Company	
6.	A Letter of Undertaking from the Holding Company, supported by Board Resolution of the Holding Company, pledging unconditional and irrevocable financial support for execution of the contract by the applicant in case of award is enclosed as per the format at Appendix-B to this Attachment-3. A power of attorney of the person signing on behalf of holding company is also enclosed at Annexure to this Attachment-3.	
7.	Documentary evidence like Annual Report/Audited financial statements together with relevant schedules for the preceding financial year/ certification of financial statements from a practicing Chartered Accountant etc. in respect of holding company in support of above is enclosed at Annexure to this Attachment-3.	
8.	<p>Audited results for the last financial year as on the last date of submission of application is enclosed</p> <p>In case not enclosed, financial results certified by a practicing chartered accountant enclosed</p> <p>In case financial results certified by a practicing chartered accountant not enclosed, then Audited financial statements for FY ----- also enclosed.</p> <p>Further, a Certificate from the CEO/CFO of the Holding Company stating that the Financial results of 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</p>	<p>YES <input type="checkbox"/>*/NO* <input type="checkbox"/></p> <p>YES <input type="checkbox"/>*/NO* <input type="checkbox"/></p> <p>Enclosed at Annexure</p> <p>YES <input type="checkbox"/>*/NO* <input type="checkbox"/></p> <p>Enclosed at Annexure</p>

NTPC LIMITED

Sl. No	Description	As on last day of the preceding financial year
--------	-------------	--

is not available, is enclosed at Annexure as per the format at Appendix-C to this Attachment-3.

Date :

Place :

(Signature).....

(Printed Name of Authorised person
Having Power of Attorney)

(Designation).....

(Company Seal).....

To satisfy the NETWORTH requirements specified in Section-II QR &SOW,
We give below the following details:

- a) We hereby confirm that net worth of our company as on the last day of the preceding financial year is not less than 100% of its paid-up share capital.
The Details are as under:

Sl. No	Description	As on last day of the preceding
--------	-------------	---------------------------------

NTPC LIMITED

		financial year
1.	Paid-up Share Capital	
2.	Net Worth	
3.	%age of Net worth to Paid-up Share Capital	
4.	Documentary evidence like Audited financial statements for the preceding financial year* in support of above is enclosed at Annexure to this Attachment-3.	
5.	<p>Since we are not able to furnish our audited financial statements, on stand alone entity basis, we are submitting the following documents for substantiation of our Qualification :</p> <p>(a) Copies of unaudited unconsolidated financial statements of the applicant alongwith copies of the audited consolidated financial statements of our Holding Company for the last 3 years enclosed at Annexure to this Attachment 3.</p> <p>(b) Certificate from the CEO/CFO of the Holding company stating that the unaudited unconsolidated financial statements form part of the consolidated Financial Statements of the Holding Company, is enclosed as per the format at Appendix-A to this Attachment-3.</p>	Enclosed at Annexure
6.	<p>Audited results for the last financial year as on the the last date of submission of application enclosed</p> <p>In case not enclosed, financial results certified by a practicing chartered accountant enclosed</p> <p>In case financial results certified by a practicing chartered accountant not enclosed, then Audited financial statements for FY also enclosed.</p> <p>Further, a Certificate from the CEO/CFO of the Applicant stating that the Financial results of company are under</p>	<p>YES <input type="checkbox"/>*/NO* <input type="checkbox"/></p> <p>YES <input type="checkbox"/>*/NO* <input type="checkbox"/></p> <p>Enclosed at Annexure</p> <p>YES <input type="checkbox"/>*/NO* <input type="checkbox"/></p>

NTPC LIMITED

	audit as on the the last date of submission of application certificate from the practicing chartered accountant certifying the financial is not available, is enclosed Annexure as per the format at Appendix-C to this Attachment-3.	Enclosed at Annexure
--	---	----------------------

b) Since we do not satisfy the Financial Criteria stipulated at Section-II, on our Own, we give below the following details of our Holding Company :

1. Name and Address of the Holding Company:

Sl. No	Description	As on last day of the preceding financial year
2.	Paid-up Share Capital of the Holding Company	
3.	Net Worth of the Holding Company	
4.	%age of Net worth to Paid-up Share Capital of the Holding Company	
5.	We have enclosed audited Financial Statements for the preceding three (3) financial years	YES <input type="checkbox"/> */NO* <input type="checkbox"/> Enclosed at Annexure
6.	Audited results for the last financial year as on the last date of submission of application opening enclosed	YES <input type="checkbox"/> */NO* <input type="checkbox"/>
	In case not enclosed, financial results certified by a practicing chartered accountant enclosed	YES <input type="checkbox"/> */NO* <input type="checkbox"/> Enclosed at Annexure
	In case financial results certified by a practicing chartered accountant not enclosed, then Audited financial statements for FY also enclosed. Further, a Certificate from the CEO/CFO of the Holding Company stating that the Financial results of company are under audit as on the date of submission of application and the certificate from the practicing chartered accountant certifying the financial is not	YES <input type="checkbox"/> */NO* <input type="checkbox"/> Enclosed at Annexure

NTPC LIMITED

Sl. No	Description	As on last day of the preceding financial year
-----------	-------------	--

available, is enclosed Annexure as per the
format at Appendix-C to this Attachment-3.

- c) Since we do not satisfy the Financial Criteria stipulated in Section-II QR & SOW, on our Own, we give below the following details of our subsidiary or subsidiaries of Holding Company :

1. Name and Address of our subsidiary or subsidiary(ies) of Holding Company:

Sl. No	Description	As on last day of the preceding financial year
-----------	-------------	--

2. Paid-up Share Capital
3. Net Worth
4. %age of Net worth to Paid-up Share Capital

NTPC LIMITED

Sl. No	Description	As on last day of the preceding financial year
-----------	-------------	--

5.	We have enclosed audited Financial Statements for the preceding three (3) Financial years	YES <input type="checkbox"/> */NO* <input type="checkbox"/>
----	---	---

6.	Audited results for the last financial year as on the last date of submission of application is enclosed	YES <input type="checkbox"/> */NO* <input type="checkbox"/>
----	--	---

	In case not enclosed, financial results certified by a practicing chartered accountant enclosed	YES <input type="checkbox"/> */NO* <input type="checkbox"/> Enclosed at Annexure
--	---	---

	In case financial results certified by a practicing chartered accountant not enclosed, then Audited financial statements for FY also enclosed. Further, a Certificate from the CEO/CFO of subsidiaries of the Holding Company stating that the Financial results of company are under audit as on the last date of submission of application and the certificate from the practicing chartered accountant certifying the financial is not available, is enclosed Annexure as per the format at Appendix-C to this Attachment-3.	YES <input type="checkbox"/> */NO* <input type="checkbox"/> Enclosed at Annexure
--	---	---

We further confirm that notwithstanding anything stated above, the Employer reserves the right to undertake- a physical assessment of the capacity and capabilities including financial capacity and capability of the Applicant / his Collaborator(s) / Associate(s) / Subsidiary(ies) / Group Company(ies) to perform the Contract, should the circumstances warrant such assessment in the overall interest of the Employer.

- (i) Net worth means the sum total of the paid up share capital and free reserve. 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

NTPC LIMITED

Loss account and miscellaneous expenses to the extent not adjusted or written off, if any, shall be reduced from reserves and surplus.

- (ii) Other income shall not be considered for arriving at annual turnover.
- (iii) “Holding Company” and “Subsidiary Company” shall have the meaning ascribed to them as per Companies Act of India.

Date :

(Signature).....

Place :

(Printed Name of Authorised person
having Power of
attorney.....

(Designation).....

(Company
Seal).....

NTPC LIMITED

(Appendix-I to Attachment 3)

PROFORMA OF CERTIFICATE FROM THE CEO/CFO OF THE HOLDING COMPANY

Dear Sirs,

- 1.0 I, Mr. (CEO of the Company / CFO of the Company)* declare that M/s. (Name of the Holding Company) is the Holding Company of M/s. (Name of the Applicant).
- 2.0 I hereby confirm and undertake that the unaudited unconsolidated financial statements submitted in respect of the applicant as part of the NIA reference no. datedhave been considered for the purposes of the finalisation of Consolidated Financial Statements of the Holding Company as part of the Annual Reports.
- 3.0 I further, certify that the figures in the unaudited unconsolidated financial statements are true and correct and same have been duly reflected in the audited consolidated financial statements and / or Annual Report of the Holding Company.

Yours faithfully

(Signature)

Date : (Name & Designation).....

Place : (Name of the Holding Company)

NTPC LIMITED

(Seal of Holding Company)

Note : *Strike off whichever is not applicable.

NTPC LIMITED

(Appendix-IB to Attachment 3)

PROFORMA OF LETTER OF UNDERTAKING

(TO BE FURNISHED ON NON-JUDICIAL STAMP PAPER OF APPROPRIATE VALUE)

Ref. :

Date :

To
Contract
Services NTPC
Limited Noida -
201301

Dear Sirs,

1.0 We, M/s..... declare that we are the holding company of M/s (Name of the Applicant) and have controlling interest therein.

M/s. (Name of the Applicant) proposes to submit the application for the under NIA reference no. dated and have sought financial strength and support from us for meeting the stipulated Financial Qualifying Requirement as per Section-II of QR & SOW.

2.0 We hereby undertake that we hereby pledge our unconditional & irrevocable financial support for the execution of the work under the scope of this enlistment to M/s. (Name of the applicant), in case they are awarded the Contract for the said package, at the end of the bidding process. We further agree that this undertaking shall be without prejudice to the various liabilities that M/s (Name of applicant) would be required to undertake in terms of the Contract including the Performance Security as well as other obligations of the Applicant/Contractor.

3.0 This undertaking is irrevocable and unconditional, and shall remain in force till the successful execution and performance of the entire contract and/or till it is discharged by Employer.

NTPC LIMITED

4.0 We are herewith enclosing a copy of the Board Resolution in support of this undertaking.

Yours faithfully

(Signature of Authorised
Signatory on behalf of the
Holding Company)

(Name & Designation).....

(Name of the Holding Company).....

Witness :

(1)

(2)

Date:

Place:

NTPC LIMITED

(Appendix-II to Attachment3)

(to be filled if applicable)

ENLISTMENT OF VENDORS FOR COAL TRANSPORTATION TENDERS FOR NTPC COAL MINES

Doc. No: SSC-CMHQ-CT-03

PROFORMA OF CERTIFICATE FROM THE CEO/CFO OF THE COMPANY

To,

NTPC Ltd.
Additional General Manager (C&M)
SSC-CMHQ
Ranchi
Dear Sirs,

1.0 I, Mr. (CEO of the Company / CFO of the Company)* confirm and undertake that the Financial results of the company for the preceding financial year to be submitted in respect of the Applicant as part of the enlistment reference no.are under audit as on the last date of application opening for and the certificate from the practicing chartered accountant certifying the financial parameters for the preceding financial year is not available.

Yours faithfully

(Signature)

NTPC LIMITED

Date :

(Name & Designation).....

Place :

Name of the Company)

Note : *Strike off whichever is not applicable.

NTPC LIMITED

SCHEDULE B

NTPC LIMITED

(Appendix-1) SCHEDULE - B

ENLISTMENT OF VENDORS FOR COAL TRANSPORTATION TENDERS FOR NTPC COAL MINES

Doc. No: SSC-CMHQ-CT-03

PROFORMA OF LETTER OF UNDERTAKING (TO BE FURNISHED ON NON-JUDICIAL STAMP PAPER OF APPROPRIATE VALUE)

Ref.: _____
Date : _____

Subject: Enlistment NIA NO: /

To,

NTPC Ltd.
Additional General Manager (C&M)
SSC-CMHQ
Ranchi

Dear Sir,

1. I ,....., son / Daughter / wife of.....residing at.....is authorized and empowered to make proposal for vendor enlistment on behalf of M/s.....with registered office at....., a (proprietorship / partnership / company registered under company act) @. Details of (Proprietor/ Partner/ Director) @of the organizations are as below:-

NTPC LIMITED

Name	Son/ Daughter/ Wife of	Residential Address	Mention Proprietor/ Partner / Director (as applicable)

2. The Power of attorney as applicable issued by the competent authority in my company/ organization, authorizing me to sign & upload enlistment documents, is attached herewith.
3. I/ We have read and examined and understood the requirements of NIA, specific qualifying requirement etc. I/ We agree to accept all terms and conditions.
4. I/We understand that statement made by us is initially subject to verification with the documentary evidence by NTPC for which relevant documentary evidence are uploaded/ being uploaded by us. I/ We also understand that in absence of relevant documentary evidence NTPC shall be at full liberty to ignore the furnished information.
5. I/ We also confirm that we shall furnish additional clarification / additional document, if any, desired by NTPC at any time (during / after enlistment).

NTPC LIMITED

6. I/ We also confirm that all furnished information & uploaded documents are correct and genuine to the best of our knowledge. I/ We also confirm that we don't have any objection for any physical verification & assessment and in obtaining confirmation from any relevant authorities/ company regarding any / all information furnished by us.
7. I/ We also confirm that we shall update NTPC for any change in status / furnished information appropriately within the currency of enlistment. If any furnished information / uploaded document found to be incorrect/ forged during the process of enlistment or after enlistment, NTPC may take appropriate action as deemed fit as per Fraud Prevention Policy/ Integrity Pact of NTPC including but not limited to Debarment of Business Dealing / Cancellation of enlistment etc.
8. I/ We agree to abide by and fulfill all the term conditions and provisions of the Vendor Enlistment Certificate, if issued in our favors.
9. This undertaking is for consideration of NTPC LTD for considering our documents for enlistment of contractors against subject NIA.

Witness

Signature:

Name

Address

Date- _____

Note:

Signature

Name of Executants _____

Designation _____

Postal Address of executants _____

1. Executant must possess valid power of attorney for submission of request for vendor enlistment.

NTPC LIMITED

Appendix 2 SCHEDULE -B

ENLISTMENT OF VENDORS FOR COAL TRANSPORTATION TENDERS FOR NTPC COAL MINES

Doc. No: SSC-CMHQ-CT-03

“POWER OF ATTORNEY” (POA)

Ref.:

Date: --.--.----

I / We._____. (Name/s of the competent authority of the company to issue POA) do hereby appoint and authorize Mr. / Ms.(Name & designation of authorized person) who is presently employed with our company M/S_____(Name of the company & address) and whose signature is given below, is authorized on behalf of the company to do all or any of the act or things, to sign & upload the application documents against enlistment for for all Coal Mines of NTPC and to sign and execute other documents / agreements / participating in meeting / responding to queries / submission of information / documents and shall be binding on the company for all the rights and obligations in relation to and in pursuant to the NIA issued by M/s NTPC Ltd.

In short, he / she is fully authorized to do all, each and every act requisite for the said purpose concerning the company and the company hereby agrees to confirm and ratify all and every act or thing or any documents / agreements executed by our said attorney within the scope of the authority hereby conferred on him and the same shall be binding on the company.

(Signature and name of authorized signatory being given Power of Attorney)

Signature:

Name: _____

Designation:Place:_ Date:_____

Signature of Executants/s:

(Signature and name of the competent authority of the company to issue POA)

NTPC LIMITED

Name: _____

Designation: _____

Witness-1

Name: . _____

Address: _____

Seal of firm / Company

Witness-2

Name: _____

Address: _____

NTPC LIMITED

SCHEDULE C

NTPC LIMITED

(Attachment-A)
SCHEDULE –C

ENLISTMENT OF VENDORS FOR COAL TRANSPORTATION TENDERS FOR NTPC COAL MINES

Doc. No: SSC-CMHQ-CT-03

Details of Accidents

Applicant's Name & Address : _____

To,

NTPC Ltd.
Additional General Manager (C&M)
SSC-CMHQ
Ranchi

We declare that the details of the fatal accidents that took place during the last 3 years at various construction projects for works executed by us are as given below:

S.N.	Name and Address of Project where accident took place	Nature of work	Nature of accident	No. of Fatal Accidents	No. of Fatalities	No. of persons working at the project site
_____	_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____	_____

Date:_____

Name of Authorised person

NTPC LIMITED

Place:_____

Designation_____

- Note: 1. Applicants to include accidents occurred involving his employees, workers, associates, subcontractors and sub agency's employees and workers giving the date/period of Occurrence of such accident.
2. Applicant may use additional sheets, if required.

Any information / data furnished by the applicant found to be incorrect or false or misleading at any point of time would render him liable to be debarred from the Enlistment / tendering / taking up of work in NTPC

NTPC LIMITED

(Attachment-B)
SCHEDULE –C

ENLISTMENT OF VENDORS FOR COAL TRANSPORTATION TENDERS FOR NTPC COAL MINES

Doc. No: SSC-CMHQ-CT-03

Declaration on Banning/Blacklisting

Applicant's Name & Address : _____

To,

NTPC Ltd.
Additional General Manager (C&M)
SSC-CMHQ
Ranchi

We hereby declare the following:

- 1) We have read the contents of the Banning Policy of NTPC attached with this Application Document and agree to abide by this policy. Further, in terms of requirement under Banning policy we hereby declare the following:
 - a) We have not been Banned/Blacklisted as on date of submission of application for subject enlistment by Ministry of Power or Government of India.
 - b) We have not employed any public servant dismissed/removed or person convicted for an offence involving corruption or abetment of such offences.
 - c) Our Director(s)/Owner(s)/Proprietor/Partner(s) have not been convicted by any court of law for offences involving corrupt and fraudulent practices including moral turpitude in relation to business dealings with Government of India or NTPC or NTPC's group companies during the last five years.
- 2) We further declare as under: that if at any point subsequent to Enlistment, the declarations given above are found to be incorrect, NTPC Limited shall have the full right to terminate the Enlistment and take any action as per applicable laws

Date: _____

Name of Authorised person

Place: _____

Designation _____

NTPC LIMITED

Any information / data furnished by the applicant found to be incorrect or false or misleading at any point of time would render him liable to be debarred from the Enlistment / tendering / taking up of work in NTPC

NTPC LIMITED

(Attachment-C)
SCHEDULE –C

ENLISTMENT OF VENDORS FOR COAL TRANSPORTATION TENDERS FOR NTPC COAL MINES

Doc. No: SSC-CMHQ-CT-02

Fraud Prevention policy

Applicant's Name & Address : _____

To,

NTPC Ltd.
Additional General Manager (C&M)
SSC-CMHQ
Ranchi

Ladies and/or Gentleman

We have read the contents of the Fraud Prevention Policy of NTPC displayed on its tender website <http://www.ntpctender.com> and undertake that we along with our associate/ collaborator/ subcontractors/sub-vendors/consultants/service providers shall strictly abide by the provisions of the Fraud Prevention Policy of NTPC.

Date: _____

Name of Authorised person

Place: _____

Designation _____

Any information / data furnished by the applicant found to be incorrect or false or misleading at any point of time would render him liable to be debarred from the Enlistment / tendering / taking up of work in NTPC

NTPC LIMITED

(Attachment-D)
SCHEDULE –C

ENLISTMENT OF VENDORS FOR COAL TRANSPORTATION TENDERS FOR NTPC COAL MINES

Doc. No: SSC-CMHQ-CT-02

Applicant's Name & Address : _____

To,

NTPC Ltd.
Additional General Manager (C&M)
SSC-CMHQ
Ranchi

We hereby confirm that if any information /data furnished by us in Schedule-A, Schedule-B and Schedule-C along with Application for Enlistment is found to be incorrect or false or misleading at any point of time, it would render us liable to be debarred from the Enlistment/tendering/taking up of work in NTPC.

Date: _____

Name of Authorised person

Place: _____

Designation _____

NTPC LIMITED

(Attachment-E)
SCHEDULE –C

ENLISTMENT OF VENDORS FOR COAL TRANSPORTATION TENDERS FOR NTPC COAL MINES

Doc. No: SSC-CMHQ-CT-02

PROFORMA OF LETTER OF UNDERTAKING

(TO BE STAMPED AS PER INDIAN STAMP ACT)

[To be executed by the Holding Company of Applicant Supported by Board Resolution and submitted by the Applicant along with the application, in case financial support is being extended by the Holding Company to the Applicant]

To,

NTPC Ltd.
Additional General Manager (C&M)
SSC-CMHQ
Ranchi

Dear Sir,

1.0 We, M/s..... declare that we are the Holding Company of M/s..... (Name of the Applicant) and have controlling interest therein.

M/s..... (Name of the Applicant) proposes to submit the application for the subject enlistment under reference no and have sought financial strength and support from us for meeting the stipulated Financial Qualifying Requirement.

2.0 We hereby undertake that we hereby pledge our unconditional & irrevocable financial support for the execution of any Contract for the subject works to M/s. (Name of the Applicant), in case they are awarded the Contract for the said package. We further agree that this undertaking shall be without prejudice to the various liabilities that M/s (Name of Applicant) would be required to undertake in terms of the Contract including the Performance Security as well as other obligations of the Applicant/Contractor.

3.0 This undertaking is irrevocable and unconditional, and shall remain in force till the successful execution and performance of the entire Contract and/or till it is discharged by NTPC.

4.0 We are herewith enclosing a copy of the Board Resolution in support of this undertaking.

Yours faithfully,

NTPC LIMITED

(Signature of Authorized Signatory)
on behalf of the Holding Company) (Name
& Designation).....
(Name of the Holding Company).....
(Seal of Holding Company).....

Witness :

(1)

(2)

INTEGRITY PACT

..... PACKAGE FOR

BIDDING DOCUMENT NO.

Between

NTPC Ltd., a Govt. of India Enterprise (hereinafter referred to as "The Employer")

and

..... (hereinafter referred to as "The Bidder/Contractor")

and

..... (hereinafter referred to as "JV Partner(s)/ Consortium

Member(s)"

(if applicable)

Preamble

The Employer awarded the Contract for
..... with the successful bidder(s), as per organizational systems and procedures. The Employer values full compliance with all relevant laws and regulations, and the principles of economical use of resources, and of fairness and transparency in its relations with its Bidder(s) and/or Contractor(s).

This Integrity Pact is an agreement between the Employer and the bidder/Contractor/JV Partners/Consortium members, committing the persons/officials of the Parties not to resort to any corrupt practices in any aspect/stage of contract.

In order to achieve these goals, the Employer will appoint Independent External Monitor(s) (IEM), who will monitor the processes as stipulated in the SOP for implementation of Integrity Pact issued by CVC from time to time.

Section 1 Commitments of the Employer

1. The Employer Commits itself to take all measures necessary to prevent corruption and to observe the following principles in this regard:-

- a) No employee of the Employer, either in person or through family members including relatives, will in connection with the bidding for or the execution of a Contract, demand or accept a promise for or accept for him/herself or for a third person, any material or immaterial benefit to which he/she is not legally entitled to.
- b) The Employer shall, during the bidding process treat all Bidders with equity and reason. The Employer will, in particular, before and during the bidding process, provide to all Bidders the same information and will not provide to any Bidder confidential/additional information through which the Bidder(s) could obtain an advantage in relation to the bidding process or the Contract execution.
- c) The Employer will exclude from the process all known prejudiced persons.




2. If the Employer obtains information on the conduct of any of its employees which is a criminal offence under the Bharatiya Nyaya Sanhita (BNS) / The Prevention of Corruption Act (PC Act) or if there be a substantive suspicion in this regard, the Employer will inform the Chief Vigilance Officer.

Section 2 Commitments and Undertakings by the Bidder/Contractor

1. The Bidder/Contractor commits and undertakes to take all measures necessary to prevent malpractices & corruption. He commits himself to observe the following principles during his participation in the bidding process and during the execution of the contract:
 - a) The Bidder/ Contractor undertakes not to, directly or through any other person or firm offer, promise or give or influence to any employee of the Employer associated with the bidding process or the execution of the contract or to any third person on their behalf any material or immaterial benefit which he/she is not legally entitled, in order to obtain in exchange any advantage of any kind whatsoever during the bidding process or during the execution of the contract.
 - b) The Bidder/ Contractor undertake not to enter into any undisclosed agreement or understanding, whether formal or informal with other Bidders. This applies in particular to prices, specifications, certifications, subsidiary contracts, submission or non-submission of bids or any other action to restrict competitiveness or to introduce cartelization in the bidding process.
 - c) The Bidder/Contractor undertakes not to commit any offence under the relevant Anti-corruption Laws of India; further the Bidder/Contractor will not use improperly, any information or document provided by the Employer as part of the business relationship, regarding plans, technical proposals and business details, including information contained or transmitted electronically for purposes of competition or personal gain and will not pass the information so acquired on to others.
 - d) The Bidder/ Contractor, when presenting his bid, undertakes to disclose any and all payments made, or is committed to or intends to make to agents, brokers or any other intermediaries in connection with the bidding process and / or award of the contract.
 - e) The Foreign Bidder/ Contractor, when presenting his bid, undertakes to disclose the name and address of agents and representative in India. Further, Indian Bidder/ Contractor when presenting his bid, undertakes to disclose the name and address of its foreign principals or associates.
2. The Bidder/ Contractor will not instigate and allure third persons/parties to commit offences outlined above or be an accessory to such offences.

Section 3 Disqualification from Bidding Process and Exclusion from Future Contracts

1. If the Bidder(s)/ Contractor(s), before award or during execution has committed a transgression through a violation of any provisions of Section 2 so as to put his reliability or credibility as Bidder into question, the Employer shall be entitled to disqualify the Bidder(s)/ Contractor(s) from the bidding process or to terminate the contract, if signed on that ground.
 2. If the Bidder/ Contractor has committed a transgression through a violation of Section 2 such as to put his reliability or credibility into question, the Employer shall be entitled to exclude including debarring the Bidder/ Contractor for any future tenders/contract award process. The imposition and duration of the exclusion will be determined by the severity
- 

of the transgression. The severity will be determined by the Employer taking into consideration the full facts and circumstances of each case particularly taking into account the number of transgressions, the position of the transgressors within the company hierarchy of the Bidder and the amount of the damage. The exclusion will be imposed for a period not exceeding two (02) years.

3. A transgression is considered to have occurred if the Employer after due consideration of the available evidence concludes that no reasonable doubt is possible.
4. The Bidder with its free consent and without any influence agrees and undertakes to respect and uphold the Employer's absolute rights to resort to and impose such exclusion and further accepts and undertakes not to challenge or question such exclusion on any ground, including the lack of any hearing before the decision to resort to such exclusion is taken. This undertaking is given freely and after obtaining independent legal advice.
5. Subject to full satisfaction of the Employer, the exclusion of Bidder/ Contractor could be revoked by the Employer if the Bidder/ Contractor can prove that he has restored/ recouped the damage caused by him and has installed a suitable corruption prevention system in his organization.

Section 4 Compensation for Damages including Forfeiture of Earnest Money Deposit/ Security Deposit/ Performance & Advance Bank Guarantees

1. If the Employer has disqualified the Bidder/ Contractor from the bidding process or has terminated the contract pursuant to Section 3, the Employer shall forfeit the Earnest Money Deposit/Bid Security, encash Contract Performance Bank Guarantees in addition to excluding the bidder from the future award process and terminating the contract.
2. In addition to 1 above, the Employer shall be entitled to take recourse to the relevant provisions of the contract related to Termination of Contract due to Contractor's Default.

Section 5 Previous Transgressions

1. The Bidder swears on oath that no previous transgression impinging on anti-corruption principles / any malpractice as mentioned in Section-2 has occurred in the last three years reckoned from the date of bid submission in any other Public/Government organization. The date of such transgression would be the date on which cognizance of the said transgression was taken by competent authority. The transgression(s), for which cognizance was taken even before the said period of three years, but are pending conclusion, shall also be considered to fall within last three years.
2. If the Bidder makes incorrect statement on previous transgression as mentioned above in para 1, Bidder can be disqualified from the bidding process or the contract, if already awarded, can be terminated on this ground

Section 6 Company Code of Conduct

Bidders are also advised to have a company code of conduct (clearly rejecting the use of bribes and other unethical behaviour) and a compliance program for the implementation of the code of conduct throughout the company.

Section 7 Independent External Monitors (IEM)

1. The Employer will appoint competent and credible Independent External Monitor for this Pact. The task of the IEMs is to review independently and objectively, whether and to what extent the parties comply with the obligations under this agreement.



2. The IEMs are not subject to instructions by the representatives of the parties and perform his functions neutrally and independently. He shall report to CMD of the Employer, or a person authorized by him.
3. The roles & responsibilities of the IEM shall be as per the SOPs issued by CVC from time to time and available in its website <https://cvc.gov.in/>.
4. As soon as the IEMs notices, or believes to notice, a violation of this agreement, he will so inform the Management of the Employer (CMD of the Employer or a person authorized by him) and request to discontinue or to take corrective action, or to take other relevant action. The IEMs can in this regard submit non-binding recommendations. Beyond this, the IEMs has no right to demand from the parties that they act in a specific manner, refrain from action or tolerate action. However, Independent External Monitor shall give an opportunity to the bidder/contractor to present its case before making its recommendations to the Employer.
5. The IEMs will submit a written report to CMD of the Employer or a person authorized by him within 30 days from the date of reference or intimation to him by the Employer and, should the occasion arise, submit proposals for correcting problematic situations.
6. The Bidder / Contractor accepts that they shall not approach courts while the matter / complaint / dispute has been referred to the IEM in terms of this pact and they shall await IEM's decision before approaching any Court.
7. The word " IEM" will include Singular or Plural.

Section 8 Pact Duration

This Pact comes into force from the date of signing by all the parties. It shall expire for the Contractor 12 months after the final payment under the respective Contract, and for all other unsuccessful bidders 6 months after the Contract has been awarded.

Section 9 Miscellaneous Provisions

1. This Pact is subject to Indian Law. The place of performance and jurisdiction shall be New Delhi.
2. Should one or several provisions of this Pact turn out to be invalid; the remainder of this Pact remains valid. In this case, the parties will strive to come to an agreement to their original intentions.
3. The actions stipulated in this Integrity Pact are without prejudice to any other legal action that may follow in accordance with the provisions of the extant law in force relating to any civil or criminal proceedings.



4. If the Contractor is a JV partnership / Consortium, this agreement must be signed by all the partners of JV / Consortium Partners as the case may be.

The Parties hereby sign this Integrity Pact aton this day of.....20....

Employer

Bidder/ Contractor

Joint Venture Partner(s)/
Consortium member(s)
(As Applicable)

Witness

Witness

Witness

1.



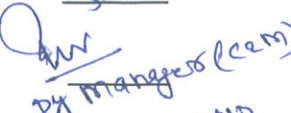
1. _____

1. _____

2.

2. _____

2. _____


K. R. SUDHAKAR
AGM (C&M)
अपर महाप्रबंधक खनिज एवं खनन
एनटीपीसी लिमिटेड/एस एस सी कोयला खनन
एनटीपीसी लिमिटेड / SSC Coal Mining, Ranchi
Witness
1. 
2. 
PUSHKAR ANAND