

<u>NTPC LTD</u> VEC, RAIPUR	
1.) CEG No.	AST-01SP-A & AST-01SP-B for (SC/ST MSE-Applicants)
2.) Brief description of CEG	AST-01SP-A: Packages for transportation of Ash through road from NTPC plants to various destinations having Estimated Value Up to INR 10 Crs. AST-01SP-B: Packages for transportation of Ash through road from NTPC plants to various destinations having Estimated Value Beyond INR 10 Crs.
3.) Responsibility Centre	Vendor Enlistment Cell
4.) BRIEF DESCRIPTION AND SCOPE OF WORK	NTPC invites applications from eligible SC/ST MSE vendors for enlistment to be used for the future tenders of Transportation of ash through road from various NTPC plants to different destinations such as Road Projects, Flyover Embankments, Mines, Shoreline Protection Structures, Dam Construction, or any other destination as per the requirement of specific tenders having scope of work as brought out below. The enlisted eligible vendors shall be considered for the various tenders as per their execution capability defined under enlistment document hereafter. Further, the enlisted vendor(s) shall be considered for execution of the value of work up to INR 50 Crore under a future tender as per their qualification and Execution capability established under the process of enlistment, based on CEG(s) of enlistment. The scope of work of NTPC tenders will generally include Transportation of ash through road from various NTPC plants to different destinations of Ash utilization Avenues such as Road Projects, Flyover Embankments, Mines, Shoreline Protection Structures, Dam Construction, or any other destination as per requirement, including work of excavation, Loading of ash from Ash Dyke/Ash Silo of NTPC thermal power plant(s) by mechanical means, Transporting ash in a closed container / dumpers (Covered with tarpaulin) as per CPCB guidelines, Unloading and stacking (if required) at various destinations as per the requirement of specific tenders and complying to statutory norms and government rules. Suitable arrangements have to be made by the Agency for transportation of ash in an environmentally friendly manner. Agency has to ensure that no spillage of ash takes place during transportation. Ash is to be collected from NTPC plants as per availability on as-is-where-is basis. The Agency has to unload the ash throughout the stretch / length of road and other designated areas as indicated in the scope of work for specific tenders.

	Note: The above scope of work is indicative only and the exact scope of works would be projects/ station/ site specific and shall be given in Tender documents
5.0 TECHNICAL CRITERIA FOR QUALIFICATION Technical Criteria shall be Same for AST-01 SP-A & AST-01 SP-B	An Applicant should have executed the following Works during the last 7 years from the last date of submission of Application: ROUTE 1: Construction of 'Ash Dyke'/ 'Embankment'/ 'Earthen Dam'/ 'Road' / 'Site Levelling' Note for Route 1: a) Strengthening and widening of roads will also be considered under "construction of road". However, works involving only repair and maintenance of road(s) will not be considered as "construction of road" OR ROUTE 2: The Work of Transportation through Road (including loading/unloading) of 'Ash' / 'Any Earthen Material'/'Any Mineral'/ 'Coal'/ 'Bulk transportation of any material' Note for Route 2: a) Bulk transportation shall mean transportation of loose, unpackaged material (Excluding parcel, small goods) directly inside transport containers or vehicles. Transportation of individually 'boxed or packaged goods' will not be considered as "Bulk transportation". OR ROUTE 3: The Work of "Earthwork including loading/unloading and transportation" in any Civil Works (other than those listed above in Route 1). Note for Route 3: b) Under Route-3 above, an Applicant can submit Application citing details of Civil Works as their experience / reference Works which are not covered under Route-1. In such Civil Works (under Route-3), the executed value of only those BOQ Items shall be considered for the purpose of calculating "Executed Value" which are pertaining to "Earthwork including loading/unloading and transportation". Earthwork in respect of all kinds of soil, soft rock, hard rock shall be considered for the purpose of evaluation Common Notes for Route 1 / Route 2 / Route 3 a) In case of contract(s) under execution as on the last date of submission of application, the value of work executed till such date will be considered. b) For the PO/WO which were awarded prior to preceding 7 years from the last date of submission of application, the value of work executed in the preceding 7 years from the last date of submission of application will be considered. c) Reference work executed by the bidder as a sub-

	contractor may also be considered provided the certificate issued by main contractor is duly certified by owner specifying the scope of work executed by the sub-contractor in support of qualifying requirements. d) Only SC/ST-owned Micro and Small Enterprises (MSEs) can apply in this enlistment. e) The social category of MSE vendors owned SC / ST shall be determined by valid Udyam registration certificate only.
7.0 FINANCIAL CRITERIA FOR QUALIFICATION	<u>7.0 (a) : Financial Criteria for AST-01SP-A: For Packages having Estimated value upto 10 Crs.</u> MSEs owned by SC/ST entrepreneurs are exempted from meeting the Average Annual Turnover (AATO) requirement of financial QR. Net-worth Criteria : Not Applicable <u>7.0 (b) : Financial Criteria for AST-01SP-B: For Packages having Estimated value Beyond Rs. 10 Crs.</u> MSEs owned by SC/ST entrepreneurs are exempted from meeting the Average Annual Turnover (AATO) requirement of financial QR. However, the Applicants will also be required to furnish and upload their audited financial statements along with all the annexures in support of following data: I) Net Worth (a) Net worth of the bidder should not be less than 25% (Twenty five percent) of the Bidder's paid-up share capital as on the last day of the preceding Financial Year reckoned from the date of Techno-commercial bid opening. AND (b) Net Worth of the bidder should not have eroded by more than 30% in last three Financial Years. However, Clause (b) is not applicable if Net Worth is equal to or more than 100% of Paid-up Share capital. In case the Bidder does not meet the Net worth criteria on its own, it can meet the requirements of Net worth based on the strength of its Subsidiary(ies) and/or Holding Company and/or Subsidiaries of the Holding Company, wherever applicable. In such a case, however, the Net worth of the Bidder and its Subsidiary(ies) and/or Holding Company and/or Subsidiaries of the Holding Company, in combined manner, should not be less than 100% of the paid-up share capital. However, the individual Net Worth of the bidder should be Positive and for others, the Net Worth should be at least 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 worths and Y1, Y2, Y3 are individual paid-up share capitals.

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

- (i) Copies of the unaudited unconsolidated financial statements of the Bidder along with copies of the audited consolidated financial statements of its Holding Company
- (ii) A Certificate from the CEO/CFO of the Holding Company, as per the format enclosed in the bid documents, stating that the unaudited unconsolidated financial statements form part of the Consolidated Annual Financial Statements of the company
- (iii) In cases where audited results for the last financial year as on the date of Techno Commercial bid opening are not available, the financial results certified by a practicing Chartered Accountant shall be considered acceptable. In case, Bidder is not able to submit the Certificate from a 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 in the bidding documents stating that the financial results of the Company are under audit as on the date of techno-commercial bid opening and the Certificate from the practicing Chartered Accountant certifying the financial parameters is not available.

Notes For Net Worth Criteria 7.0 (b):

1.0 (a) In case of a Company, "Net Worth" means the sum total of the paid-up share capital and free reserves. "Free reserves" means all reserves credited out of the profits and share premium account but does not include reserves credited out of the revaluation of the assets, write back of depreciation provision and amalgamation. Further any debit balance of Profit and Loss account and miscellaneous expenses to the extent not adjusted or written off, if any, shall be reduced from reserves and surplus.

(b) In case of sole proprietorship/partnership, "Net Worth" means the aggregate of the balances in the Capital Account and the Current Account, where the Current Account is maintained to record regular transactions such as drawings, share of profit, interest on capital and other owner/partner related adjustments. The aggregate of balances should be positive.

2.0 "Holding Company" and "Subsidiary Company" shall have the meaning ascribed to them as per Companies Act 2013, as amended from time to time.

3.0 If a bidder is not required to get its accounts audited under section 44AB of the Income Tax Act, 1961, the financial statements duly certified by a practicing Chartered Accountant shall be considered acceptable along with a certificate from chartered Accountant that bidder is not liable for audit under section 44AB.

8.0 Execution capability based on technical criteria

The **Execution Capability (EC)** shall be calculated based upon executed value of work in **Single** Purchase Order/Work Order/Agreement meeting the Technical Criteria mentioned in 5.0 above.

Notes for EC

- a) For arriving at the executed value of work specified above, basic amount only, shall be considered. In case contract is inclusive of taxes, bidder should provide the break –up of basic value and taxes.
- b) For Single Purchase Order/Work Order/Agreement meeting the Technical Criteria under Route 2 mentioned in 5.0 above, If the work of “Transportation through Road (including loading/unloading)” is part of some different nature of Work/ Purchase Order/Work Order/Agreement, then the total value of work executed in respect of similar Items will only be considered.

As already brought out, upon completion of the enlistment process, the enlisted vendor(s) shall be considered for execution of the value of work up to INR 50 Crore under a future tender as per their qualification established during the process of enlistment

Calculation of Execution Capability

The **Execution Capability (EC)** based upon Technical Criteria will be defined / calculated as under:

Execution Capability (EC) = $1.25 \times 4 \times \text{Max Value of Work Executed in a Single Purchase Order/Work Order/Agreement as established during evaluation of Applications (Under Route1 / Route2 / Route3)}$

** Illustration(s):*

1) Maximum value of work executed in single PO of applicant is Rs 1 Crore. Then, his execution capability (EC) will be considered as $1.25 \times 4 \times 1 = \text{Rs. 5 Crores}$.

2) Maximum value of work executed in single PO of applicants is Rs 5 Crore. Then, his execution capability (EC) will be considered as $1.25 \times 4 \times 5 = \text{Rs. 25 Crores}$.

3) Maximum value of work executed in single PO of applicants is Rs 40 Crore. Then, his execution capability (EC) will be considered as $1.25 \times 4 \times 40 = 200 \text{ CR}$, however his execution capability (EC) will be considered as Rs. 50 Crores

4) Maximum value of work executed in single PO of applicants is Rs 45 Crore. Then, his execution capability (EC) will be considered as Rs. 50 Crores.

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

Note: -As illustrated above, even if an Applicant / Vendor submits PO of executed value greater than Rs 10 Crore, his execution capability (EC) based on Technical Criteria will be limited and considered upto Rs 50 Crore only.

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

	a. <u>For Route1</u> The executed value shall mean the total value of work executed under a single Purchase Order/Work Order/Agreement under Route1. b. <u>For Route2</u> The executed value shall mean the total value of work executed under a single Purchase Order/Work Order/Agreement under Route2. However, if the work of “Transportation through Road (including loading/unloading)” is part of some different nature of Work/ Purchase Order/Work Order/Agreement, then the total value of work executed in respect of similar Items will only be considered. c. <u>For Route3</u> The executed value shall mean the total value of work executed in respect of BOQ items/works as stipulated under Route3 (as per clause no. 5.0 above titled as “Technical Criteria” read in conjunction with Note) in a single Purchase Order/Work Order/Agreement.
9.0 Selection of enlisted vendors for issuing tender enquiry	Selection of enlisted vendors for issuing tender enquiry: For a particular tender, eligible vendors shall be selected from the “list of enlisted vendors” considering the following as detailed in the detailed enlistment document: a) Execution capability based on technical criteria.

Standard Terms & Conditions for AST-01SP-A & AST-01SP-B

1.0 SCOPE OF WORK

The scope of work of NTPC tenders will generally include Transportation of ash through road from various NTPC plants to different destinations of Ash utilization Avenues such as Road Projects, Flyover Embankments, Mines, Shoreline Protection Structures, Dam Construction, Low Laying Area Filling or any other destination, including work of Loading of ash from Ash Dyke/Ash Silo of NTPC thermal power plant(s), Transporting ash by mechanical means in a closed container / dumpers (Covered with tarpaulin) with an arrangement to avoid spillage / flying of ash, Unloading and stacking at various destinations as per the requirement of specific tenders.

Suitable arrangements have to be made by the Agency for transportation of ash in environment friendly manner and confirming to the environment ministry guidelines and directives. Agency has to ensure that no spillage of ash takes place during transportation. Ash is to be collected from NTPC plants as per availability on as-is-where-is basis. The Agency has to unload the ash throughout the stretch / length of road and other designated areas as indicated in the scope of work of the tender.

- 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 reserves the right to cross-check and confirm the information details furnished by the applicant.
- Joint Venture / Consortium applications are not permitted in this enlistment process.
- For vendor enlistment for Ash Transportation for SC/ST owned MSEs applicant (i.e. AST-01SP-A & AST-01SP-B), no minimum threshold limit for Execution Capability (EC)/ AATO shall be applicable.
- The enlistment cycle shall remain open throughout the year in regular intervals.

EVALUATION OF APPLICATIONS FOR ENLISTMENT

- I. Applicants shall provide the details of maximum three (3) reference works online in the Purchase Order fields at the enlistment portal while submitting the application as detailed above.
- II. 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 on the enlistment portal shall only be considered for ascertaining the applicant's compliance to the specified eligibility criteria.
- III. 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 3 reference works declared by the applicant in the Purchase Order fields at the enlistment portal shall be scrutinized. The highest executed value (established as per QR and in

accordance with the process mentioned herein), among these reference works, shall be considered for determining the execution capability. The execution capability of the applicant shall be $1.25 \times 4 \times \text{Max Value of Work Executed in a Single Purchase Order of highest executed value (limited up to the ceiling limit of this enlistment)}$.

- IV. 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.
 - 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.
- V. Applicants who shall meet the eligibility criteria (as defined in QR& SOW) shall be recommended for enlistment.
- a. Applicants Meeting Criteria 7.0 (b) above shall be enlisted for AST-01 SPL (A) & AST-01 SPL (B) Both with Same Execution Capability calculated above.
 - b. Applicants only Meeting Criteria 7.0 (a) above shall be enlisted for AST-01 SPL (A) only with Execution Capability calculated as above.
- VI. After approval, certificate of enlistment shall also be issued by NTPC to the approved vendors.
- VII. 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.
- VIII. Vendors once enlisted are advised to participate in the NTPC tendering process actively. Before renewal of enlistment, NTPC may review the participation by vendor if found unsatisfactory, NTPC reserve the right to debar from the vendor enlistment.

Apart from the above, all other terms shall be governed by the Standard Terms & Conditions (STC) and Guidelines for Enlistment of Vendors on PAN-NTPC Basis

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