

**QUALIFYING REQUIREMENTS
FOR
“ENLISTMENT OF AGENCIES FOR ASH DYKE WORKS”**

CEG DETAILS					
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ELIGIBILITY CRITERIA					
	<p>1. TECHNICAL ELIGIBILITY CRITERIA FOR ENLISTMENT OF AGENCIES FOR ASH DYKE WORKS OF NTPC THERMAL POWER PROJECTS / STATIONS</p> <p>Applicant who wishes to participate in the enlistment shall satisfactorily establish that it fulfills the Eligibility requirements stipulated here under: -</p> <p>1.0.0 Applicant should have executed the following works within the preceding Seven (07) years reckoned as on the date of bid opening:</p> <p>1.1.0 Category-I (for Inward / Upstream raising works):</p> <p>1.1.1 At least one (01) earthen dam or ash dyke work or reservoir embankment work of maximum height not less than 4.0 m, in one contract.</p> <p style="text-align: center;">And</p> <p>1.1.2 A cumulative progress of at least 2.5 Lakh Cu.M. of earthwork in earthen dam work or ash dyke work or reservoir embankment or canal embankment work in any one (1) year period, in one (1) or maximum two (2) contracts.</p> <p>1.2.0 Category-II (For Outward Raising/ Centerline Raising / Buttressing / Peripheral filling / Starter Dyke works):</p> <p>1.2.1 At least one (01) earthen dam work or ash dyke work or reservoir embankment work of maximum height not less than 5.5 m, in one contract.</p> <p style="text-align: center;">And</p> <p>1.2.2 A cumulative progress of at least 7.5 Lakh Cu.M. of earthwork in earthen dam work or ash dyke work or reservoir embankment or canal embankment work in any one (1) year period, in one (1) or maximum two (2) contracts.</p> <p>The following notes (a to l) explain in detail the intension of various terms in eligibility criteria for category I & II above:</p> <p>a) Earth dams, ash dykes and reservoir embankments, which are designated as water retaining structures, shall be qualified for this work. However, canal</p>				

embankments, guide bunds along water courses shall be considered for qualification under clause 1.1.2 / 1.2.2 only. All other types of earth works such as road embankments, railway embankments, site leveling works etc. shall not be qualified.

- b) Sand / substitute filter media as filter either in chimney or in blanket or both; used in embankments shall be considered in earth work quantity calculations. Rock Toe shall not be considered.
- c) For embankments/ reservoir / dyke, the height and quantities shall be considered above formation level up to dyke top for eligibility criteria requirement purpose. However, in case of ash dyke raising works for both inward/upstream and outward/center line methods, the height of dyke shall be considered from the stripped level of ash inside the lagoon for eligibility criteria.

"Formation level" means bottom of stripped level for the dyke formation. The earth work in Cut Off Trench (COT) shall be included for quantity estimation for eligibility criterion under clause 1.1.2 / 1.2.2. However, the depth of COT shall not be considered for the height calculation for eligibility criterion under clause 1.1.1/ 1.2.1.

- d) Wherever the ash dykes and other embankments are constructed in different contracts, the height applicable to individual contract only and not the cumulative effect shall be considered for the purpose of determining compliance of clause 1.1.1/1.2.1. For example, where the contract is for raising an embankment, only the raising portion shall be considered and not the earlier starter dyke.
- e) In clause 1.0.0 above, the word executed means the applicant should have achieved the criterion specified in the eligibility criteria requirements within preceding Seven (07) year period even if the contract has been started earlier and / or is not completed / closed.
- f) In clause 1.1.1/1.2.1 above, applicant should have constructed full height of embankments work specified in the eligibility criteria, within the preceding Seven (07) year period, even if the contract has been started earlier and/or is not completed /closed.
- g) The "one (01) year period" means any continuous 12-months period for both one or maximum two contracts.
- h) In case of works stipulated in 1.1.2/1.2.2 above, the word "earthwork" shall mean earth / ash. The quantity of earth work in filling only will be considered for qualification.
- i) Reference works executed by the applicant, as a member of joint Venture / Consortium / Associate can also be considered provided:

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, meet the relevant provisions of eligibility criteria.

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 clause 1.1.2/1.2.2. above, the credit of executed quantities can be claimed by the applicant in the ratio of bidder's share in the integrated joint Venture Agreement, provided the bidder establishes that it regularly undertakes works as at clause 1.1.2/1.2.2 above. The executed works/ quantities by the integrated joint venture shall be duly authenticated by the Project Authority. However, the applicant will not be eligible to claim the credit of executed work by integrated Joint Venture for clause 1.1.1/ 1.2.1 above, unless the applicant has individually executed the work meeting the requirement of Clause 1.1.1/1.2.1 above and which has been duly authenticated by the Project Authority.

- j) Reference work executed by an applicant as a sub-contractor may also be considered provided the certificate issued by main contractor is duly certified by Project Authority specifying the scope of work executed by the sub-contractor in support of eligibility criteria.
- k) Similar work means: - Earthen dam work, ash dyke work or reservoir embankment work (canal embankment work also will be considered for earth work under quantity criteria).
- l) All the inward / upstream raising works will be considered under Category-I of enlistment. Rest all other works including Outward / Center line / buttressing works / Peripheral filling works / Starter Dyke works etc., will be considered under Category-II. Applicants enlisted under Category-II will automatically get enlisted for Category-I works.

2. FINANCIAL REQUIREMENT

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

1. Annual Turn Over of last 03 (three) financial years
2. Net worth of last FY: Net worth of the Applicant in last FY as on the last day of submission of application should not be less than 100% of the Applicant's paid up share capital

Thus, for financial capability, vendors' data w.r.o. their annual turnover during preceding 03 financial years from the date of application who meets net-worth criteria will be captured and shall be maintained as data base against each technically

qualified vendor in the enlistment master.

Note:

1. Net worth of the Applicant in last FY as on the last day of submission of application should not be less than 100% of the Applicant's paid up share capital. 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.

In case the Applicant does not satisfy the financial criteria, stipulated at above on its own, its holding company would be required to meet the stipulated turnover requirements, provided that the net worth of such holding company as on the last day of the preceding financial year is at least equal to or more than the paid-up share capital of the holding company. In such an event, the Applicant would be required to furnish along with its Techno-Commercial bid, a Letter of Undertaking from the holding company, supported by Holding Company's Board Resolution, as per the format enclosed in the bid documents, pledging unconditional and irrevocable financial support for the execution of the Contract by the Applicant in case of award.

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.

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.

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

- 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.

In cases where audited results for the last preceding 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, 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 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.