

NTPC LTD	
SECTION-II QR & SOW	
ENLISTMENT OF VENDORS FOR TRANSPORTATION OF ASH THROUGH ROAD FROM NTPC PLANTS TO VARIOUS DESTINATIONS	
1.) REF NO.	AST-01
2.) NAME OF WORK	TRANSPORTATION OF ASH THROUGH ROAD FROM NTPC PLANTS TO VARIOUS DESTINATIONS
3.) NAME OF PROJECT / STATION	NTPC Plants
4.) BRIEF DESCRIPTION AND SCOPE OF WORK	<p>NTPC invites applications from eligible vendors for enlistment to be used for the future tenders of Transportation of ash through road from various NTPC plants to different destinations such as Road Projects, Flyover Embankments, Mines, Shoreline Protection Structures, Dam Construction, or any other destination as per the requirement of specific tenders having scope of work as brought out below. The enlisted eligible vendors shall be considered for the various tenders as per their execution capability defined under enlistment document hereafter.</p> <p>Further, the enlisted vendor(s) shall be considered for execution of the value of work up to INR 50 Crore under a future tender as per their qualification established under the process of enlistment.</p> <p>The scope of work of NTPC tenders will generally include Transportation of ash through road from various NTPC plants to different destinations of Ash utilization Avenues such as Road Projects, Flyover Embankments, Mines, Shoreline Protection Structures, Dam Construction, or any other destination as per requirement, including work of excavation, Loading of ash from Ash Dyke/Ash Silo of NTPC thermal power plant(s) by mechanical means, Transporting ash in a closed container / dumpers (Covered with tarpaulin) as per CPCB guidelines, Unloading and stacking (if required) at various destinations as per the requirement of specific tenders and complying to statutory norms and government rules.</p> <p>Suitable arrangements have to be made by the Agency for transportation of ash in an environmentally friendly manner. Agency has to ensure that no spillage of ash takes place during transportation. Ash is to be collected from NTPC plants as per availability on as-is-where-is basis. The Agency has to unload the ash throughout the stretch / length of road and other designated areas as indicated in the scope of work for specific tenders.</p>

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

	<ul style="list-style-type: none"> 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.
<p>6.) FINANCIAL CRITERIA FOR QUALIFICATION</p>	<p>FINANCIAL CRITERIA FOR QUALIFICATION</p> <p>In addition to above, the Applicants will also be required to furnish and upload their audited financial statements along with all the annexures in support of following data:</p> <ul style="list-style-type: none"> 1) Annual Turn Over of last 03 (three) financial years 2) Net worth of last FY: Net worth of the Applicant in last FY as on the last date of submission of application should not be less than 100% of the Applicant's paid up share capital. <p>6.1 In case the Applicant does not satisfy the financial criteria, stipulated above on its own, its holding company would be required to meet the stipulated turnover requirements, provided that the net worth of such holding company as on the last day of the preceding financial year is at least equal to or more than the paid-up share capital of the holding company. In such an event, the Applicant would be required to furnish along with its application, a Letter of Undertaking from the holding company, supported by Holding Company's Board Resolution, as per the format enclosed, pledging unconditional and irrevocable financial support for the execution of the Contract by the Applicant in case of award.</p> <p>6.2 Net worth of the Applicant as on the last day of the preceding financial year (as on the last day of submission of application) should not be less than 100% of the Applicant's paid up share capital. In case the Applicant does not satisfy the Net worth criteria on its own, it can meet the requirement of Net worth based on the strength of its Subsidiary(ies) and/or Holding</p>

	<p>NOTES:</p> <ol style="list-style-type: none"> 1) Net worth means the sum total of the paid-up share capital and free reserves. Free reserves mean all reserves credited out of the profits and share premium account but does not include reserves credited out of the revaluation of the assets, write back of depreciation provision and amalgamation. Further any debit balance of Profit and Loss account and miscellaneous expenses to the extent not adjusted or written off, if any, shall be reduced from reserves and surplus. 2) Other income shall not be considered for computing annual turnover. 3) "Holding Company" and "Subsidiary Company" shall have the meaning ascribed to them as per Companies Act of India, in vogue
<p>7.) CRITERIA FOR ENLISTMENT</p> <p>(7.1 Execution capability based on technical criteria</p> <p>and</p> <p>7.2 Execution capability based upon financial requirement)</p>	<p>7.1 Execution capability based on technical criteria:</p> <p>As already brought out, upon completion of the enlistment process, the enlisted vendor(s) shall be considered for execution of the value of work up to INR 50 Crore under a future tender as per their qualification established during the process of enlistment.</p> <p>The Execution Capability (EC) based upon Technical Criteria will be defined / calculated as under:</p> <p>Execution Capability (EC) = 1.25 x * Max Value of Work Executed in a Single PO / Work Order as established during evaluation of Applications (Under Route1 / Route2 / Route3)</p> <p>* Illustration(s):</p> <ol style="list-style-type: none"> 1) Maximum value of work executed in single PO of applicant is Rs 4 Crore. Then, his execution capability (EC) will be considered as $1.25 \times 4 = \text{Rs. } 5 \text{ Crores}$. 2) Maximum value of work executed in single PO of applicant is Rs 20 Crore. Then, his execution capability (EC) will be considered as $1.25 \times 20 = \text{Rs. } 25 \text{ Crores}$. 3) Maximum value of work executed in single PO of applicant is Rs 40 Crore. Then, his execution capability (EC) will be considered as $1.25 \times 40 = \text{Rs. } 50 \text{ Crores}$.

Company and/or Subsidiary(ies) of its Holding Companies wherever applicable. The net worth of the Applicant and its Subsidiary(ies) and/or Holding Company and/or Subsidiary(ies) of the Holding Company, in combined manner should not be less than 100% of their total paid up share capital. However individually, their Net worth should not be less than 75% of their respective paid up share capitals.

Net worth in combined manner shall be calculated as follows:

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

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

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

1. Copies of the unaudited unconsolidated financial statements of the Applicant along with copies of the audited consolidated financial statements of its Holding Company.
2. A Certificate from the CEO/CFO of the Holding Company, as per the format enclosed, stating that the unaudited unconsolidated financial statements form part of the Consolidated Annual Report of the Holding Company

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

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

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

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

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

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

a. For Route1

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

b. For Route2

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

However, if the work of “Transportation through Road (including loading/unloading)” is part of some different nature of Work/ Purchase Order/Work Order/Agreement, then the total value of work executed in respect of similar Items will only be considered.

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

c. For Route3

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

	<p>7.2 Execution capability based upon financial requirement:</p> <p>As per the financial criteria stipulated above, vendors/applicants are required to meet minimum net-worth criteria. Vendors who are meeting the net-worth criteria and are considered for enlistment shall be identified along with their Average Annual Turnover of three years as established during this enlistment process</p>
8. Selection of enlisted vendors for issuing tender enquiry	<p>Selection of enlisted vendors for issuing tender enquiry:</p> <p>For a particular tender, eligible vendors shall be selected from the “list of enlisted vendors” considering the following as detailed in the detailed enlistment document:</p> <ul style="list-style-type: none"> a) Execution capability based on technical criteria. b) Average Annual Turnover of three Years.
9. Terms & Conditions	<p>Please refer the attached documents at Annexure-I for detailed terms & conditions</p>

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



SECTION-I

NOTICE INVITING APPLICATIONS (NIA)

**FOR ENLISTMENT OF VENDORS FOR ALL NTPC UNITS THROUGH
SINGLE WINDOW FOR**

**TRANSPORTATION OF ASH THROUGH ROAD FROM
VARIOUS NTPC PLANTS TO VARIOUS DESTINATIONS**

DOCUMENT NO.: AST-01

SECTION-I

NOTICE INVITING APPLICATIONS (NIA)

NIA No.: AST-01

Online applications are invited from eligible Vendors/Applicants for pan NTPC Enlistment for “TRANSPORTATION OF ASH THROUGH ROAD FROM NTPC PLANTS TO VARIOUS DESTINATIONS” as per scope of work contained in detailed enlistment documents.

In future, in respect of tenders for subject works, list of enlisted vendors upon completion of enlistment process as per the enlistment criteria, will be used considering execution capability and average annual turnover etc. of the enlisted vendors based on tender specific requirements as defined in the detailed enlistment documents. Eligible Vendors selected through this enlistment process shall be issued tender enquiries for subject works having estimated cost up to a maximum limit of estimated cost of INR 50 crores.

NTPC joint ventures and subsidiaries companies may also use the list of enlisted vendors as per their internal systems and procedures.

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 application:

- a) Section-I Notice Inviting Application (also referred as NIA)
- b) Section-II Qualifying Requirement and Scope of Work (also referred as QR & SOW)
- c) Section-III Instructions To Applicants (also referred as ITA)

Eligible Vendors/Applicants may visit www.vendor.ntpc.co.in/enlistment to apply online for enlistment as per Brief Scope of work, Qualifying Requirements, Standard Terms & Conditions etc.

NTPC LIMITED

SECTION-II

QUALIFYING REQUIREMENTS

AND

SCOPE OF WORK

TRANSPORTATION OF ASH THROUGH ROAD FROM NTPC
PLANTS TO VARIOUS DESTINATIONS

DOCUMENT NO.: AST-01

(Section-II QR-SoW: Attached at Top)

SECTION-III

INSTRUCTIONS TO APPLICANTS

FOR

ENLISTMENT OF VENDORS

FOR

**TRANSPORTATION OF ASH THROUGH ROAD FROM NTPC
PLANTS TO VARIOUS DESTINATIONS**

DOCUMENT NO.: AST-01

TABLE OF CONTENTS

S.No.	DESCRIPTION
1.0	DISCLAIMER
2.0	INTRODUCTION
3.0	SCOPE OF WORK
4.0	GENERAL INFORMATION
5.0	INSTRUCTIONS TO THE APPLICANTS
6.0	IMPORTANT DATES
7.0	EVALUATION OF APPLICATIONS FOR ENLISTMENT
8.0	CONDITION OF CANCELLATION OF ENLISTED AGENCIES AND REVIEW OF ENLSITMENT
9.0	PERIOD OF ENLISTMENT
10.0	RIGHT TO ACCEPT OR REJECT APPLICATION
11.0	SELECTION OF ENLISTED VENDORS FOR ISSUING TENDER ENQUIRY
12.0	IMPORTANT NOTES
FORM	APPLICATION FORM FOR ENLISTMENT
SCHEDULE-A	FORMATS FOR FULFILLING ELIGIBILITY CRITERIA (TECHNICAL AND FINANCIAL)
SCHEDULE-B	FORMATS FOR LETTER OF UNDERTAKING AND POWER OF ATTORNEY
SCHEDULE-C	FORMATS FOR OTHER INFORMATION

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.

For the Thermal Power Stations, NTPC plans for enlistment of eligible vendors meeting the specified eligibility criteria and willing to be associated with NTPC for its projects/stations for the future tenders of Transportation of ash through road from NTPC plants to different destinations such as NHAI road projects, mines or any other destination 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 projects / Stations. Vendor enlistment process in NTPC is a continuous process with the option to add / delete/ modify any Contract Enlistment Group (CEG) at any time without any prior notice. Similarly, any vendor desirous to get their names enlisted/ updated themselves in the approved list; they can do so at any time. However, such request shall be evaluated in the subsequent cycle only.

3.0 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. 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.

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

4.0 GENERAL INFORMATION

- 4.01 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.
- 4.02 Throughout these enlistment documents, the term “Eligibility Criteria” and “Qualifying Requirements” appearing anywhere in the documents shall have the same meaning and are synonymous to each other. The eligibility criteria are available in Section-II QR & SOW.
- 4.03 The information furnished with the application for enlistment must be sufficient for processing and assessment of the applicant.
- 4.04 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.
- 4.05 It is required to submit applications with digitally signed relevant credentials by the Authorized Signatory. The same should be uploaded on the website for vendor enlistment in respect of individual MEG/ CEG as per required documents/ details and corresponding specified QR.**

5.0 INSTRUCTIONS TO THE APPLICANTS

- 5.01 INSTRUCTION FOR REGISTRATION AND APPLYING ONLINE: Interested Vendors/Applicants may open the website (www.vendor.ntpc.co.in) and register themselves for enlistment by filling registration form online. System generated e-mail shall be sent to the vendor giving ID & password for authentication & activation. Vendors shall log in to the website with this ID and password. After log in, the system shall ask for change of password, ID remaining same. Vendors, in their own interest should change the password. After log in, the page opened shall show the details required which should be correctly filled in. It is required that the Xerox copy of the original document of the relevant credential shall be self-attested by the authorized signatory with company seal, scanned and uploaded in “PDF form” as per the instructions shown on the portal. Star (*) marked fields on the portal are mandatory. Applicants may use the help document available on the enlistment portal for registration and submission of application.
- 5.02 SUBMISSION OF APPLICATION FOR ENLISTMENT:
- (a) Applicants shall provide the details of maximum three (3) reference works online in the Purchase Order fields at the portal. 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.

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.

Additional information as sought regarding the reference works indicated by the applicant at enlistment portal 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 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, applicant are not required to enclose client certificate(s) for such reference works.

Similar work/qualifying work definition for a particular CEG/MEG will be available in Qualifying Requirement document. Documents should be duly certified and verified for authenticity from Independent Statutory Auditor of their Company or specified Third-Party Inspection Agency (TPIA), failing which the application for enlistment is liable for rejection.

(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.

Annual Turn Over figure paid up share capital, reserves & surpluses for last three financial years to be filled and audited balance sheet and profit & loss statement with Unique Document Identification Number (UDIN), to be uploaded.

(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) The Applicant shall submit digitally signed (with Class IIIB signature) 'Power of Attorney' duly authorized for the person signing & submitting the application on behalf of the applicant and the 'Letter of Undertaking' by the person authorized in POA. The aforesaid 'Power of Attorney' and 'Letter of Undertaking' shall be submitted online along with the application.

(e) 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:

1. Certificate of registration
2. Permanent Account No (PAN) Copy of PAN card
3. GST Registration -GST registration certificate
4. UDYAM certificate.
5. ISO certificate- ISO9000, ISO 14000, ISO18500, SA8000. Copy of relevant Certificate to be uploaded, if available.
6. EFT Form.
7. PF number- Certificate of PF number
8. 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).
9. 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.
10. Date of incorporation- to be mentioned and certificate of incorporation to be uploaded.
11. Change of legal status of organization: Details to be filled and uploaded.
12. Type of company: Proprietorship, partnership etc.
13. Power of attorney and Letter of Attorney.

(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 as mentioned above 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 the vendor enlistment portal 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.
- (i) **Any Certificate(s) / Financial Statement(s) / Audited Balance Sheet and P&L Account (wherever applicable) undertaken/ signed by a Member of Institute of Chartered Accountant of India (ICAI), which Applicants submit, will carry Unique Document Identification Number (UDIN) generated in line with the Gazette Notification of Council of Institute of Chartered Accountant of India (ICAI).**

Applicants, required to submit the details of the past experiences, shall submit all the documents, 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 in support to their past experiences.

Such applicant shall be required to submit duly certified and verified documents from

their Statutory Auditors or specified TPIA along with a certificate regarding verification of authenticity of documents as per the format placed at attachment- 2A Schedule-A (Undertaking from Statutory Auditor) and/ or attachment- 2B Schedule-A (Undertaking from TPIA). All the documents submitted by the applicant shall be digitally signed by the Statutory Auditor and/ or specified TPIA.

In case documents are certified & verified for authenticity through TPIA, the verification and certification of authenticity of documents is acceptable from any of the following TPIAs:

1. Société Générale de Surveillance / SGS India Pvt. Ltd.(SGS)
2. Gulf Lloyds Industrial Services (India) Pvt. Ltd (GLISPL)
3. International Certification Services (ICS)
4. TÜV Rheinland (India) Pvt. Ltd.
5. TÜV SÜD South Asia Pvt. Ltd.
6. TÜV India Pvt. Ltd. (TÜV Nord Group)
7. Intertek India Pvt. Ltd.
8. Moody International (India) Pvt. Ltd.
9. RINA India Pvt. Ltd.
10. Competent Inspectorate and Consultants LLP

The following website may be referred for contact details of above ten (10) TPIAs:

http://nabcb.qci.org.in/accreditation/reg_bod_inspection_bodies.php

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

The Applicant shall be responsible to get their documents/ credentials 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 Applicant. NTPC shall have no liability (financial or otherwise) towards the same and shall not be liable for any claim/ dispute between the bidder and TPIA and/ or Statutory Auditor.

- 5.03 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.
- 5.04 This enlistment document is not transferable.
- 5.05 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.
- 5.06 Financial data should be given in Indian rupees only.

5.07 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.

5.08 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.

5.09 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.

5.10 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.

5.11 MODIFICATION, SUBSTITUTION AND WITHDRAWAL OF APPLICATION FOR ENLISTMENT

No application shall be modified or substituted by the applicant after it has been uploaded in the website.

- 5.12 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.
- 5.13 NTPC reserves the right to cross check and confirm the information details furnished by the applicant.
- 5.14 Joint Venture / Consortium applications are not permitted in this enlistment process.
- 5.15 Bottom Note on each page of the formats enclosed in the enlistment documents should not be removed by the applicants.
- 5.16 The applicant shall strictly adhere to the fraud prevention/banning policy of NTPC displayed on its tender website <http://www.ntpctender.com> 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 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.

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.

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 the highest executed value (limited upto the ceiling limit of this enlistment).

For this purpose, applicants shall submit relevant documents like 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.

Additional information regarding the reference works, indicated on enlistment portal, are required to be filled in the format given in Attachment-2 of Schedule –A and uploaded in the portal.

In case the reference work pertains to the contract(s)/works executed by applicant for NTPC in the past, applicant is not required to enclose client certificate(s) for such reference works.

7.2 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.

7.3 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.

7.4 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.

7.5 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.

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.

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

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

7.8 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 agencies shall be cancelled by NTPC in case of their poor performance, abandoning of allotted work, delay in completion of work and handing over of fronts to other agencies, 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 Station/representative.

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/ Banning Policy during pre-award/ award/ execution stage, action in line with the said policy shall be taken.

8.5 REVIEW & UPDATION OF VENDOR ENLISTMENT

After the completion of initial vendor enlistment for a new MEG / CEG, the enlistment process for these enlistment groups shall be re-opened after six months in the first instant and thereafter in next year Enlistment Calendar, for enabling the new vendors (who could not participate in the previous enlistment process) and already enlisted vendors (who want to upgrade their credentials) to participate and submit their application for vendor enlistment / up gradation.

Already enlisted vendors need not apply again as they are enlisted for a period of 3 years. Even then if any enlisted agency wants to upgrade its credentials, it can submit the

application with revised credentials for experience related to preceding five years and for annual turnover relating to preceding three financial years shall be considered with reference to the date of submission of revised application by the agency.

New vendors: If any new applicant gets qualified in line with the aforesaid procedure, their name shall be included in the enlisted vendors list for a period of 3 years from the date of approval for that particular MEG/CEG.

8.6 RENEWAL OF ENLISTMENT

Before completion of three (3) years, already enlisted vendors can apply with their fresh credentials for enlistment for a further period. If their credentials are found in order, their enlistment shall be done accordingly. Their enlistment shall be valid for three years from the date of approval. It may be noted that the system will automatically delete the enlisted vendor after expiry of its validity. Therefore, Vendor at their interest should take appropriate action to update their records / resubmit the application well in advance so as not to face any such eventualities to deletion of their names from the approved list and stop getting tender enquiries from NTPC.

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. 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.

For eligible vendors, the data regarding execution capability established against technical criteria and their average annual turnover of 3 years shall be considered for selection of enlisted vendors for issuing enquiry for a particular tender.

Definitions of terms for selection criteria for a particular tender:

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 3 years as per enlistment.

For issuing a particular tender enquiry, the vendors meeting the following conditions shall be selected:

I. For the tenders having completion period ≤ 1 years

a) Enlisted Vendor having $AATO \geq CET$

and

b) $EC \geq CET$

II. For the tenders having completion period > 1 year but less than 2 years

a) Enlisted Vendors having $AATO \geq CET \times 12/CP$ shall be eligible

and

b) $EC \geq CET$

III. For the tenders having completion period ≥ 2 years

a) Enlisted Vendor having $AATO \geq CET \times 12/CP$ shall be eligible

and

a) $EC \geq CET \times 12/CP$

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 of projects/stations / regional headquarters / corporate

center/Shared Service Centers(SSCs) 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 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 for site awarded works packages. 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 for withholding/ banning of business dealings as per NTPC Policy.

7. **Address for communication:**

Additional General Manager (VDC)
NTPC Ltd , Western Region-II Head Quarter ,
Plot No. -87, Sector-24, Atal Nagar, Nava Raipur ,
Raipur , Chhattisgarh , PIN code: 492018
Website : www.vendor.ntpc.co.in

8. **BANNING POLICY**

The banning policy of NTPC available on the home page of our web site www.vendor.ntpc.co.in shall be applicable.

9. **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 the home page of our web site www.vendor.ntpc.co.in

FORMS, SCHEDULES AND ATTACHMENTS

APPLICATION FORM

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

Doc. No: **AST-01**

To,

Additional General Manager (VDC)

NTPC Ltd , Western Region-II Head Quarter ,

Plot No. -87, Sector-24, Atal Nagar, Nava Raipur ,
Raipur , Chhattisgarh , PIN code: 492018

Dear Sir,

1.0 Having examined the Enlistment document no. **(CEG AST01)** 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.

2.0 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 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- 2,2A,2B & 3 of Schedule A: The documentary evidences establishing eligibility criteria stipulated in the enlistment documents. The qualification data has been furnished as per your

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 of Projects / Stations/ Regional Head Quarters/ Corporate center/Shared Service Center(SSCs) for subject work for 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

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.

SCHEDULE A

(Attachment-1 part 1)
SCHEDULE –A

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

DOCUMENT NO. : **AST-01** 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: (if available).

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 of authorized person _____

Place : _____

Designation _____

Attachment –1 part 2
SCHEDULE –A

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

DOCUMENT NO. : AST-01

Applicant's Name & Address: _____

To,

Additional General Manager (VDC)

NTPC Ltd , Western Region-II Head Quarter ,

Plot No. -87, Sector-24, Atal Nagar, Nava Raipur ,
Raipur , Chhattisgarh , PIN code: 492018

- a) We declare that we meet the requirements stipulated at Clause No. 11.0 /12.0 of Eligibility Criteria of Enlistment documents for **subject work** of our own as indicated below:

Ref. of Eligibility Criteria	Technical eligibility criteria under Route1/2/3	Financial criteria
Meeting the criteria	_____ *Yes/No	_____ *Yes/No

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.

(Attachment-2)
SCHEDULE -A

**APPLICATION FOR ENLISTMENT FOR TRANSPORTATION OF ASH
THROUGH ROAD FROM NTPC PLANTS TO VARIOUS DESTINATIONS
DOCUMENT NO. : AST-01**

Applicant's Name & Address: _____

To,
Additional General Manager (VDC)
NTPC Ltd , Western Region-II Head Quarter ,
Plot No. -87, Sector-24, Atal Nagar, Nava Raipur ,
Raipur , Chhattisgarh , PIN code: 492018

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

SN	Description	Reference work 1	Reference work 1	Reference work 1
	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 as defined in QR& SOW (Section-II)	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

SN	Description	Reference work 1	Reference work 1	Reference work 1
		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.

Note:

1) Applicants are strictly advised to mention here the details of only those works which have been mentioned in online portal.

(Attachment-2A)
SCHEDULE-A

Undertaking from Independent Statutory Auditor

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

Ref. No:

DATE:

To,
NTPC Ltd.
.....

Subject: Authentication of veracity of documents submitted by M/s in support of credentials for Enlistment

Ref: NIA no. / Enlistment Cycle no:
Name of the MEG/ CEG:

Dear Sir,

M/s. (hereinafter called Applicant) having Registered office at intend to participate in above referred Enlistment of NTPC Ltd.

We, M/s has been appointed as Statutory Auditor for the Applicant i.e. M/s (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 duly signed and stamped and/ or 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 (Applicant) for the purpose of participating in Enlistment.

Thanking you,

* *Strike off, whichever is not applicable.*

(Attachment-2B)
SCHEDULE-A

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 credentials for Enlistment

Ref : NIA no. / Enlistment Cycle no:
Name of the MEG/ CEG:

M/s. (hereinafter called Applicant) having Registered office at intend to participate in above referred Enlistment of NTPC Ltd.

The Enlistment condition stipulates that the Applicant shall submit supporting Documents pertaining to Technical Qualifying Requirement duly verified and certified by a specified independent Third Party Inspection Agency as per the list mentioned in the Enlistment 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 has 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(s).

Thanking you,

** Strike off, whichever is not applicable.*

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

DOCUMENT NO. : AST-01

CERTIFICATE OF COMPLIANCE ON ELIGIBILITY CRITERIA
(Annexure to Attachment 2)

Applicant's Name & Address: _____

To,

Additional General Manager (VDC)

NTPC Ltd , Western Region-II Head Quarter ,

Plot No. -87, Sector-24, Atal Nagar, Nava Raipur ,

Raipur , Chhattisgarh , PIN code: 492018

- 1.0 With reference to our Application for enlistment of contractors for **subject** work, Document No. : **AST-01** , we hereby confirm that the reference works furnished by us in the field of PO and in Schedule-A of our application for enlistment, are for fulfillment of specific eligibility criteria specified in the eligibility criteria.
- 2.0 We further confirm that no change or substitution in respect of reference works (as declared in our application for enlistment) by new/additional work for meeting the specified eligibility criteria shall be offered by us.

Date : _____

Name of authorized person _____

Place : _____

Designation _____

(Attachment-3)
SCHEDULE-A

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

DOCUMENT NO. : AST-01

Applicant's Name & Address: _____

To,
Additional General Manager (VDC)
NTPC Ltd , Western Region-II Head Quarter ,
Plot No. -87, Sector-24, Atal Nagar, Nava Raipur ,
Raipur , Chhattisgarh , PIN code: 492018

Financial Documents

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.

Financial Year	Rs. (Lacs)	Amount in
1. 2020 – 2021	_____	_____
2. 2019 – 2020	_____	_____
3. 2018 – 2019	_____	_____
4. Average Annual Turnover for _____ the preceding three (3) Financial Years as on last date notified for receipt of application.		

5. We have enclosed Audited
_____ Yes*/No*
financial statements for the last
3 financial years

In case where audited results for the last preceding financial year are not
available ,certification of financial statement from a practicing chartered
accountant shall also beconsidered acceptable.

Date : _____
person _____

Name of authorized

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.

(Attachment-3)
SCHEDULE-A

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

DOCUMENT NO. : AST-01

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

Details pertaining to financial criteria of 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.	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 : (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. (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.	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 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>

b) 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

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.	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.	YES <input type="checkbox"/> */NO* <input type="checkbox"/> Enclosed at Annexure
	Further, a Certificate from the CEO/CFO of the Holding Company stating that the Financial results of company are under audit as on the the last date of submission of application and the certificate from the practicing chartered accountant certifying the financial parameters	

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

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

Date :
(Signature).....

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

(Designation).....

seal)..... (Company

A) 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

		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>

	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

NTPCLIMITED

NIA No.: (CEG AST-01)

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

NTPCLIMITED

NIA No.: (CEG AST-01)

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 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 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 in accordance with ITB Clause 11.2 (c).

- (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

NTPCLIMITED

NIA No.: CEG AST-01

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).....

seal)..... (Company

NTPC LIMITED

NIA No.: CEG AST-01

(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

NIA No.: CEG AST-01

(Seal of Holding Company)

Note : *Strike off whichever is not applicable.

APPENDIX-B

..... PACKAGE
FOR

(Appendix-IB to Attachment 3)

PROFORMA OF LETTER OF UNDERTAKING

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

Ref. :

Date :

To

Additional General Manager (VDC)

NTPC Ltd , Western Region-II Head Quarter ,

Plot No. -87, Sector-24, Atal Nagar, Nava Raipur , Raipur , Chhattisgarh

PIN code: 492018

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.

NTPC LIMITED

NIA No.: CEG AST-01

M/s. (Name of the Applicant) proposes to submit the application for theunder 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.
- 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).....

NTPC LIMITED
NIA No.: CEG AST-01

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

(Seal of the Holding Company).....

Witness :

(1)

(2).....

Date:

Place:

NTPC LIMITED

NIA No.: CEG AST-01

(Appendix-II to Attachment 3)

NTPC LIMITED

NIA No.: CEG AST-01

(to be filled if applicable)

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

DOCUMENT NO.: AST-01

PROFORMA OF CERTIFICATE FROM THE CEO/CFO OF THE COMPANY

To,

Additional General Manager (VDC)

NTPC Ltd , Western Region-II Head Quarter ,

Plot No. -87, Sector-24, Atal Nagar, Nava Raipur , Raipur , Chhattisgarh

PIN code: 492018

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. **AST-01** are under audit as on the last date of application Opening for ENLISTMENT FOR TRANSPORTATION OF ASH THROUGH ROAD FROM NTPC PLANTS TO VARIOUS DESTINATIONS Package 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

NIA No.: CEG AST-01

Date :

(Name & Designation).....

Place :

Name of the Company)

Note : *Strike off whichever is not applicable.

NTPC LIMITED

NIA No.: CEG AST-01

SCHEDULE B

NTPC LIMITED

NIA No.: CEG AST-01

“LETTER OF UNDERTAKING” (LOU) (To be executed on non-judicial stamp paper of Rs. 100/-)

Ref.:

Date: ---, ---, ----

To,
HEAD OF VDC (USSC/CPG-1)
NTPC LIMITED,
PLOT NO:87, SECTOR-24,
NAYA RAIPUR, CG - 492018

Subject: Application for Enlistment

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 (proprietor ship / partnership / company registered under company act) @. Details of (Proprietor/ Partner/ Director) @@of the organizations are as below:-

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

- 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.
- I/ We hereby confirm that I will access the designated web site of NTPC for vendor enlistment with computer generated User ID and given password changed by me. I also confirm that I shall take all possible measures to prevent any unauthorized access to vendor enlistment portal on behalf of my company.
- I/ We have read and examined and understood the requirements of NIA, MEG/CEG specific qualifying requirement etc. I/ We agree to accept all terms and conditions and subsequent to which desired information being furnished as desired in the following forms for Enlistment:-
 - Company Information (KYC)
 - Financial details as per Balance Sheet e.g. Turnover, Profit & Loss, etc
 - MEG/CEG related Qualifying requirement (QR) & QR questionnaire
 - Execution Capability (Highest 3 Nos PO/ Work orders execution details for similar work)
- 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.

NTPC LIMITED

NIA No.: CEG AST-01

6. I/ We also confirm that we shall furnish additional clarification / additional document, if any, desired by NTPC at any time (during / after enlistment)
7. 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.
8. I/ We also confirm that we shall update NTPC for any change in status / furnished information appropriately within the currency of enlistment. In 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 but not limited to Banning Business Dealing/ Cancellation of enlistment etc.
9. I/ We agree to abide by and fulfill all the term conditions and provisions of the Vendor Enlistment Certificate, if issued in our favors.
10. This undertaking is for consideration of NTPC LTD for considering our documents for enlistment of suppliers/ contractors against subject NIA for MEG/ CEG.

Witness

Signature:

Name

Address

Signature

Name of Executants

Designation

Postal Address of executants

Date:

Note:

1. Executant must possess valid power of attorney for submission of request for vendor enlistment.
2. Hard Copy of "Letter of Undertaking (LOU)" should be duly executed on stamp paper of requisite value. Digitally Signed (by the authorized signatory of the vendor) copy of the same should be uploaded online along with their application. Applicant should keep Original hardcopy with them and shall have to be provided whenever asked for.

NTPC LIMITED

NIA No.: CEG AST-01

ANNEXURE- POA Format

“POWER OF ATTORNEY” (POA) (To be executed on non-judicial stamp paper of Rs. 100/-)

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 vendor enlistment Notice Inviting Application (NIA) for ENLISTMENT OF VENDORS / CONTRACTORS FOR SUPPLY OF VARIOUS MATERIALS / EXECUTION OF WORKS CONTRACT TO NTPC'S PLANTS, OFFICES & PROJECTS THROUGHOUT INDIA 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:

Place:

Name:

Date:

Designation:

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

Signature of Executants/s:

Name:

Designation:

Seal of firm / Company

Witness-1

Name:

Address:

Witness-2

Name:

Address:

Note:

- i. This Document to be attested by certified bank or duly attested by a Notary Public or First Class Magistrate
- ii. Hard Copy of “Letter of Undertaking (LOU)” should be duly executed on stamp paper of requisite value. Digitally Signed (by the authorized signatory of the vendor) copy of the same should be uploaded online along with their application. Applicant should keep Original hardcopy with them and shall have to be provided whenever asked for.

NTPC LIMITED
(AST-01)

SCHEDULE C

NTPC LIMITED
(AST-01)

(Attachment-A)
SCHEDULE -C

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

DOCUMENT NO. : AST-01

Details of Accidents

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
_____	_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____	_____

Applicant's Name & Address: _____

To,

Additional General Manager (VDC)
NTPC Ltd , Western Region-II Head Quarter ,
Plot No. -87, Sector-24, Atal Nagar, Nava Raipur ,
Raipur , Chhattisgarh , PIN code: 492018

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:

Date: _____

Name of Authorised person

NTPC LIMITED
(AST-01)

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.

1. 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
(AST-01)

(Attachment-B)
SCHEDULE –C

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

DOCUMENT NO. : AST-01

Declaration on Banning/Blacklisting

Applicant's Name & Address: _____

To,

Additional General Manager (VDC)

NTPC Ltd , Western Region-II Head Quarter ,

Plot No. -87, Sector-24, Atal Nagar, Nava Raipur ,
Raipur , Chhattisgarh , PIN code: 492018

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
(AST-01)

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
(AST-01)

(Attachment-C)
SCHEDULE -C

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

DOCUMENT NO. : AST-01

Fraud Prevention policy

Applicant's Name & Address: _____

To,

Additional General Manager (VDC)

NTPC Ltd , Western Region-II Head Quarter ,

Plot No. -87, Sector-24, Atal Nagar, Nava Raipur ,
Raipur , Chhattisgarh , PIN code: 492018

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
(AST-01)

(Attachment-D)
SCHEDULE -C

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

DOCUMENT NO.: AST-01

Applicant's Name & Address: _____

To,

Additional General Manager (VDC)

NTPC Ltd , Western Region-II Head Quarter ,

Plot No. -87, Sector-24, Atal Nagar, Nava Raipur ,
Raipur , Chhattisgarh , PIN code: 492018

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: _____

Place: _____

Name of Authorised person

Designation _____

NTPC LIMITED
(AST-01)

(Attachment-E)
SCHEDULE -C

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

DOCUMENT NO. : AST-01

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,

Additional General Manager (VDC)
NTPC Ltd , Western Region-II Head Quarter ,
Plot No. -87, Sector-24, Atal Nagar, Nava Raipur ,
Raipur , Chhattisgarh , PIN code: 492018

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 AST-01 and have sought financial strength and support from us for meeting the stipulated Financial Qualifying Requirement as per Clause 6.2.1 of NIT.

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
(AST-01)

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

Witness :

(1)

(2)

-----End of document-----