

NTPC Limited
(A Government of India Enterprise)



**ENLISTMENT OF AGENCIES
FOR
CONDUCTING PRELIMINARY AND DETAILED GEOTECHNICAL
INVESTIGATIONS FOR THERMAL POWER PROJECTS**

DOCUMENT NO.: CS-0011-723-9

**NOTICE INVITING APPLICATIONS(NIA)
FOR
Enlistment of Agencies for Conducting Preliminary and Detailed
Geotechnical Investigations for Thermal Power Projects**

Document No.CS-0011-723-9

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 SCOPE OF SERVICES

A) Requirement of geotechnical investigation

- 1) Geotechnical investigation may be either on land or in water body (i.e. in River / sea) and would be carried out in stages, as preliminary, detailed and in few cases during construction or post construction.
- 2) Preliminary geotechnical investigation data is a pre-requisite for the preparation of FR.
- 3) Detailed geotechnical investigation data is a pre-requisite for finalization of FSCs for main plant & offsite civil works package, site levelling & infrastructure works package, ash dyke package, turnkey packages like coal handling plant (CHP), cooling waters, CW & Makeup water system, DM & PT plant, Switchyard, township and other plant & associated facilities.
- 4) Based on the inputs from preliminary / detailed geotechnical investigation, type of foundation system for main plant and offsite structures, turnkey packages, township, is finalized. In case of pile foundations, the pile design & termination criteria of piles are fixed.
- 5) Offshore investigation (in river / sea) is also required to be done for the design of intake well/ arrangement and approach to the intake. Based on the investigation data, termination criteria of intake well/ well foundation is arrived at. The data is also used to estimate depth of scour.

B) Scope of preliminary/ detailed geotechnical investigation work

- 1) Boring in soil and drilling in rock (where rock is encountered) in plant area, ash disposal area, township area, make up water pipe line corridor, ash pipe corridor, intake well and approach walk way, etc.
- 2) Conducting Field tests like Standard Penetration Test (SPT) in boreholes, Plate Load Test (PLT), Seismic Refraction Test (SRT), Cross hole seismic test (CST), Electrical Resistivity Test (ERT), Pressuremeter Test (PMT), Static Cone Penetration Test (SCPT), Dynamic Cone Penetration Test (DCPT), Permeability Tests, Percolation test, Trial Pits, Vane Shear Tests, etc.
- 3) Laboratory tests on soil, rock & ground water samples to evaluate

physical, engineering and chemical properties.

3.0 INSTRUCTIONS OF ENLISTMENT

NTPC is in the process of online enlistment of contractors for consultancy works for its projects and stations. Applications for Pan NTPC Enlistment of consultancy packages for “**Enlistment of Agencies for Conducting Preliminary and Detailed Geotechnical Investigations for Thermal Power Projects**” are invited.

The intent of this enlistment is to identify and enlist prospective vendors / contractors who meet Technical Qualifying Requirements envisaged and financial parameters as mentioned at Annexure-A. 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 Corporate Contracts Consultancy Enlistment Group (CCG) 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.

The Application is open to applicants within the Employer's country only, subject to fulfillment of conditions specified in the Clause “Restrictions on procurement from a Bidder of a country which shares a land border with India”.

For the subject enlistment, only ‘Class-I local suppliers’ are eligible to submit applications. Applications of Class-II and non-local suppliers shall be outrightly rejected.

The notice inviting application for enlistment of CEG on websites <https://vendor.ntpc.co.in/enlistment> and www.ntpctender.com

4.0 SCHEDULE :

This enlistment shall remain open to Applicants as per schedule mentioned below for submission of Eligible Applications. Eligible Applications are those who are meeting the Qualifying requirements mentioned at Annexure-A.

Initially all new applications submitted as per schedule mentioned below for enlistment shall be considered for evaluation and all new vendors added to the list of empaneled vendors shall be valid for three (03) years from the date of enlistment.

A summary of the schedule for application for enlistment is shown below. NTPC reserves the right to amend the enlistment process and amend the schedule at any stage.

EVENT	DATE
Start date for submission of Application	30.11.2021
Last date for submission of Queries	05.12.2021
Last date for submission of application	21.12.2021

NOTE: The online application system will not allow submission of application after the respective specified expiry date and time. Applicants are advised to make sure that the submission of application is completed well in advance of the time specified.

Afterwards, after the completion of initial vendor enlistment of the consultancy package, the enlistment process shall again be re-opened after a period of 6 months from the date of publication of enlistment and shall be kept open forever so that all the new vendors who could not participate in the enlistment process can participate and submit their application for enlistment at anytime. Evaluation process shall be carried out every six months.

5.0 HOW TO APPLY FOR ENLISTMENT

Interested potential vendors (domestic) / contractors (domestic) are advised to visit the website <https://vendor.ntpc.co.in/enlistment> and login to update and/or apply online for the respective Corporate Contracts Consultancy Enlistment Group(**CCG**) to meet the Technical Qualifying Requirement and financial parameters mentioned against this CEG.

To create new login, Interested vendors are to apply, upload and submit ONLY ONLINE the relevant documents (credentials) as required for enlistment against this CCG. No fee is required to be paid for enlistment. No offline application would be entertained by NTPC.

Applicants shall be required to meet the Qualifying Requirement documents at Annexure-A to the NIA.

Subsequent to Enlistment, only the Enlisted Agencies will be invited to submit bids in respect of specific enquiry of Corporate Centre / Regional Head Quarters/Projects for the subject enlistments.

- 5.1 The Applicant will have to submit his Application online at the portal <https://vendor.ntpc.co.in/enlistment> in the manner specified in this document. While submission of Application, Applicant shall be required to certify their compliance vide relevant schedule for provisions of enlistment documents and QR compliance as mentioned here under:

- (i) Applicants are required to certify their full compliance to all the provisions of Enlistment Documents and its subsequent Amendment(s) / Clarification(s) / Addenda / Errata, if any, issued by the Employer by accepting in the relevant Schedule :

“Do you certify full compliance to all provisions of Enlistment Documents?”

Acceptance of above condition shall be considered as Applicant's confirmation that any deviation to the any Provisions found anywhere in their Proposal, implicit or explicit, shall stand unconditionally withdrawn, without any cost implication whatsoever to the Employer, failing which the application

shall be rejected.

- (ii) Applicants are required to certify their compliance on the Qualifying Requirements, by accepting the following in the relevant Schedule :

“Do you certify full compliance on the Qualifying Requirements?”

Acceptance of above condition shall be considered as Applicants' confirmation to the following conditions:

- a) The numbers of reference works quoted by the Applicant in Schedules of their Application, for establishing compliance to the Qualifying Requirements (QR) specified to the Enlistment Documents, are not more than three (3) times the number of works as specified in the Qualifying Requirements. The number of reference works declared more than three (3) times the number of works as specified above shall not be considered for evaluation / establishing compliance to the Qualifying Requirements (QR) as specified at the Enlistment Documents.
- b) No change or substitution in respect of reference works, as specified, by new/additional works for meeting the specified Qualifying Requirements (QR) shall be offered by the Applicant.

c) Declaration of Reference Works

The reference works whose details have been declared as per the specified formats in schedules shall only be considered to ascertain the Applicant's compliance to the Qualifying Requirements (QR) specified at **Annexure-A**. However, the Applicants are not permitted to quote more than three (3) times the number of reference works as specified in the Qualifying Requirements.

The Employer at its discretion may seek any clarification and/or documentary evidence only for the reference works as mentioned above. However, no change or substitution of the reference works by new/additional works for conforming to the specified QR shall be sought, offered or permitted.

6.0 DELETED

7.0 INSTRUCTION FOR APPLYING ONLINE

Interested vendors may open the website (<https://vendor.ntpc.co.in/enlistment>) 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 page. Star (*) marked fields are mandatory.

To create login, bidder may visit at the website

<https://vendor.ntpc.co.in/enlistment> and follow steps mentioned below:

- a) Click on “CREATE LOGIN”.
- b) Select “Applying For Consultancy Packages?” and click on Apply.
- c) Select respective package as per qualification criteria and press on continue.
- d) Follow the steps with entering the data in the respective fields and create login.

8.0 INFORMATION REQUIRED AS PART OF APPLICATION FOR ENLISTMENT

Applicants are required to submit the information along with their supporting documents/ certificates in the attached formats as sought in the schedules captured in online application form.

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

Documents to be submitted in this Enlistment

Applicants to ensure that before starting “online filling of data and uploading documents” all the documents to be uploaded from the list (given below) are converted in PDF form and separate PDF file of each document are readily available. This will help to complete the document uploading without any trouble.

1. Certificate of registration
2. Permanent Account No (PAN) Copy of PAN card
3. GST Registration -GST registration certificate
4. MSME/SSI/NSIC unit - SSI/NSI/MSME/ Udyog Adhar/ Udyam Adhar certificate as applicable.
5. ISO certificate- ISO9000, ISO 14000, ISO18500, SA8000 Certification to be confirmed. Copy of relevant Certificate to be uploaded
6. EFT Form.
7. PF number- Certificate of PF number
8. For annual turnover and net worth data -Copy of Profit & Loss Account & Balance Sheet for last three preceding years. Audited balance sheets and related annexures of the last three completed financial years to be furnished. In case the audited documents are not ready/available, then certified copy by a registered practicing-chartered accountant may be submitted.
9. For experience - 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 entity of organization: Details to be filled and uploaded.

12. Type of company: Proprietorship, partnership etc to be selected.
13. Qualifying Requirement specific supporting documents
14. Information/ declaration pertaining to various schedules of the respective enlistment group.

9.0 SUBMISSION OF APPLICATION FOR ENLISTMENT

- (a) The work orders furnished online in the Purchase Order fields in the portal and the reference works mentioned by the applicant in Schedule –A of their online application towards fulfillment of specific eligibility criteria by the applicant, shall be considered for evaluation /establishing compliance to the technical eligibility criteria as specified at Annexure-A to the enlistment documents.

Along with the above documents, applicants will also be required to furnish their audited financial statements along with all its annexure as per Qualifying requirement.

- (b) No change or substitution in respect of reference works, as specified, by new/additional works for meeting the specified eligibility criteria shall be offered by the applicant after the bid submission time.
- (c) Power of Attorney duly notarized by a notary public indicating that the person(s) signing the application has/have the authority to sign the application and the application is binding upon the applicant during the full period of its validity backed by a copy of board resolution/other relevant documents to demonstrate the authority of the person issuing the power of attorney to be furnished along with the application.

Power of attorney to the authorised signatory of the applicant for signing of application, to be submitted along with application and should be dated not later than the date of signing the application.

The Applicant shall submit '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.

- d) 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 digitally signed Power of Attorney as mentioned above and shall be submitted online along with application.

9.1 ADDRESS FOR COMMUNICATION

AGM(CS)/ Sr Manager(CS)
NTPC Ltd
6th Floor, Engineering Office
Complex,
Plot No. A-8A, Sector - 24,

Noida – 201 301
Distt. Gautam Budh Nagar,
State- U.P., INDIA,
Phone Nos: 0120- 4948687
Mobile: 9650996752/ 9771440920
Email: neerajkumar02@ntpc.co.in / ravikumar04@ntpc.co.in
Websites: <https://vendor.ntpc.co.in/enlistment>
and www.ntpctender.com

10.0 CUT OFF DATE TO APPLY FOR ENLISTMENT

The cut-off date for submission of completed application as mentioned in this notification only for the within the first cycle need to apply online within this cut-off date. All applications received till the cut-off date (in the first enlistment process) shall be considered for enlistment. Application submitted after this date shall not be considered for first cycle of evaluation. **All applications received within stipulated this cut-off date will be evaluated within next six months progressively.** After the completion of initial vendor enlistment of respective consultancy packages, the enlistment process shall again be re-opened after a period of 6 months and shall be kept open forever so that all the new vendors who could not participate in the enlistment process can participate and submit their application for enlistment at anytime.

Vendor should ensure that only relevant documents are uploaded. Vendor will be free to modify the given input / upload document till the cut-off date and time. After the cut-off date and time for any particular evaluation cycle, vendor will not be permitted for any such change. However, in case any change is needed, vendor may re-submit / modify the same for evaluation in subsequent cycle only. In case, during evaluation of credentials, if any additional or relevant documents is required by NTPC, the same should be furnished by e-mail attaching scanned copy of documents duly signed & stamped by the authorized person. Vendors should make sure that the submission of application is completed well in advance to avoid last minuterush.

11.0 DECLARATION OF REFERENCE WORKS

The reference works which are uploaded online in the purchase order fields of vendor enlistment portal and whose details are declared online as per the specified formats in the relevant Schedule shall only be considered to ascertain the applicant's compliance to the specified eligibility criteria. However, the Applicants are not permitted to quote more than three (3) times the number of reference works as specified in the Qualifying Requirements.

The employer at its discretion may seek any clarification and/or documentary evidence only for the reference works as mentioned above. 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.

Applicants are required to furnish the details of the reference works as per format as available in respective form as per the enlistment documents and enclose relevant document like copies of authentic work order, client's completion

certificate / project authority certificate as applicable, contract agreements etc. supporting the details/data provided in the format. No claim without supporting documents shall be accepted in this regard. However, if any of the reference work pertains to the contract(s) /works executed by applicant for NTPC in the past, then in respect of such contract(s) /works, applicant shall not be required to enclose client certificate(s) along with its application.

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. This enlistment document is not transferable.

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. Financial data should be given in Indian rupees only.

The information should be provided in the application form in line with the information sought 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.

In case the applicant intends to give additional information for which specified space in the given format is not sufficient, it can be furnished in additional information section.

- 11.1** 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). 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. All technically qualified vendors who meet financial criteria shall be enlisted against respective Corporate Contracts Consultancy Enlistment Group(CCG).

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. Any incomplete request or deficiency of document(s) will run the risk of rejection. In the process of vendor enlistment, NTPC may seek additional information/ clarification and vendor must be ready to furnish promptly any such information, so asked for. Any vendor currently under BIFR or banned / blacklisted on Pan NTPC basis shall not be considered for enlistment. However, such vendors may be considered for enlistment only after expiry of the banning / blacklisting period. If any vendor is debarred / banned in participating any tender originating from any particular station/ region of NTPC shall continue to remain debarred/banned for that station/ region even after enlistment on PAN NTPC basis, till expiry of period or else banning order is revoked by concerned station/ region.

For the vendors shortlisted by the respective evaluation committee, 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 observations/ finding of the assessment committee should also be

signed by the vendor being assessed.

12.0 CLARIFICATION ON APPLICATION FOR ENLISTMENT

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 by an applicant to influence the employer's processing of applications or enlistment will 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 in the application for the purpose of meeting eligibility criteria specified or any other document mentioned in the bid 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.

A prospective Applicant requiring any clarification to the Enlistment documents may notify the Employer through e-mail at the Employer's address latest by date specified at para 4.0, if any. Any request for clarification received after the date specified before last date of submission of application will not be entertained.

13.0 MODIFICATION, SUBSTITUTION AND WITHDRAWAL OF APPLICATION FOR ENLISTMENT

The Applicant may modify, substitute or withdraw his original Application for Enlistment after its submission, but in any case before the specified deadline for submission. For doing so, a corresponding written notice of the modification or substitution or withdrawal has to be submitted by the Applicant to the Employer prior to the last date notified for receipt of the Applications.

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

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

NTPC reserves the right to cross check and confirm the information details furnished by the applicant. No Joint Venture or Consortium of firms shall be allowed to apply for the Enlistment.

Depending upon unit size and number of units, the tendered quantity of various works may vary. Irrespective of the tendered quantities of project specific packages, the applicants have to meet the qualifying parameters given in the enclosed eligibility criteria and financial parameters given in the enlistment document.

The applicant shall strictly adhere to the fraud prevention 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).

Applicant to furnish Audited Annual Reports and its annexure and Profit & Loss statement of last 03 (three) financial years along with its application as per extended last date for receipt of complete application for enlistment.

14.0 DELETED

15.0 EVALUATION CRITERIA FOR ENLISTMENT

For the purpose of enlistment, applicants shall be evaluated on the basis of stipulated technical eligibility criteria and financial requirements. The reference works whose detail have been declared in the vendor enlistment portal and as per the specified format in the schedules with relevant documents like copies of authentic work order, client's completion certificate / project authority certificate as applicable, contract agreement etc. shall only be considered to ascertain the applicant's compliance to the specified eligibility criteria. However, if any of the reference work pertains to the contract(s)/works executed by applicant for NTPC in the past, then in respect of such contract(s) /works, applicant shall not be required to enclose client certificate(s) along with its application. The reference works which are uploaded online in the purchase order fields and whose details are declared online as per the specified formats in the relevant schedules shall only be considered to ascertain the applicant's compliance to the specified eligibility criteria.

Notwithstanding anything stated above, the Employer reserves the right to verify any information/documents furnished, inspect the works carried out by the Applicant and also to undertake a physical assessment of the capacity and capability of the Applicant/his collaborator/subsidiaries/group companies to perform the contract, should the circumstances warrant such assessment in the overall interest of the Employer.

The physical assessment shall include but not be limited to the assessment of the office/facilities/reference works by the Employer. A negative determination of such assessment of capacity and capabilities may result in the rejection of the Application.

The above right to undertake the physical assessment shall be applicable for the qualifying requirements stipulated in the Enlistment documents

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.

Applicants have to apply for the category(ies) for which they want to get

enlisted for the consultancy group as per the enlistment documents and shall be evaluated only for those category(ies) for which they have applied.

16.0 Selection of Enlisted vendors for issuing tender enquiry:

Enlistment will be done based on their *qualification against technical eligibility criteria and financial parameters mentioned at Annexure-A.*

The vendors are asked to upload and furnish details of work orders as specified under Qualification requirements for receipt of application for enlistment to meet eligibility criteria along with financial requirements of last three years Based on these data, the Category for which the vendor will qualify shall be established and maintained as data base against each qualified vendor in the enlistment master.

Applicants will also be required to furnish and upload their audited financial statements along with all the annexure and Profit Lost Account statement eligibility criteria.

17.0 CONDITION OF CANCELLATION OF ENLISTED AGENCIES

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.

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 shall be cancelled.

The performance of the contractors shall be reviewed periodically based on the feedback given by the Head of Station.

For this, in case of unsatisfactory performance of the enlisted vendors, Head of Station shall send a detailed report about their poor performance in supply of materials/ execution of works with clear recommendation for taking action against them.

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.

18.0 HALF YEARLY REVIEW & UPDATION OF VENDOR ENLISTMENT:

After the completion of initial vendor enlistment of consultancy works package

as mentioned above, the enlistment process shall again be re-opened after a period of 6 months and shall be kept open forever so that all the new vendors who could not participate in the enlistment process can participate and submit their application for enlistment at any time.

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

Already enlisted vendors: Already enlisted vendors need not apply again as they are enlisted for a period of 3 years. Before completion of three (3) years, already enlisted vendors can apply with their revised credentials for enlistment for a further period of three (3) years. In such case, evaluation shall be done based on the revised credentials during the last seven years (execution) / three financial years (average annual turnover) as applicable from the date of application.

If their revised credentials are found to be in order by the standing committee for evaluation, their enlistment shall be upgraded /extended accordingly in line with the procedure defined above. Their enlistment shall be valid for three years from this date of enlistment. In this way enlistment process shall be continuous.

19.0 PERIOD OF ENLISTMENT

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

20.0 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.

Applicant may note that mere submission of filled in application for enlistment and/or submission of additional information do not automatically entitle him to claim for enlistment. NTPC at its sole discretion may re-invite or modify or annul the process without assigning any reason whatsoever.

'Employer' means 'NTPC Limited' and includes legal Successors or permitted assigns of the Employer.

Notwithstanding anything stated above, the employer reserves the right to assess 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.

21.0 SUBCONTRACTING PROVISION FOR WORKPACKAGES

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.

22.0 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

23.0 BANNING POLICY

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

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

Any 'Bidder from a country which shares a land border with India', will be eligible to apply in this enlistment only if applicant is registered with the Competent Authority as mentioned in the Application Documents.

However, the said requirement of registration will not apply to Applicants from those countries (even if sharing a land border with India) to which the Government of India has extended lines of credit or in which the Government of India is engaged in development projects.

- 24.1 Any Applicants from a country which shares a land border with India will be eligible to bid in this tender only if bidder is registered with the Competent Authority as mentioned in the order of Department of Expenditure (DoE), Ministry of Finance, OM ref. no. F.No.6/18/2019-PPD dated 23.07.2020.

Such registration should be valid for the entire period of bid validity or any extension thereof. However, in case the validity period of registration is less than bid validity period, the Bidder shall be required to submit the extension of the validity period of registration before the opening of price bids, failing which the bid shall be rejected.

Further the successful bidder shall not be allowed to sub-contract supplies/services/works to any "Sub-contractor" from a country which shares a land border with India unless such Sub-contractor is registered with the competent Authority as mentioned in SCC.

However, the said requirement of registration will not apply to bidders/sub-contractors from those countries (even if sharing a land border with India) to which the Government of India has extended lines of credit or in which the Government of India is engaged in development projects. Bidders may apprise themselves of the updated lists of such countries available in the website of the Ministry of External Affairs.

- 24.2 “Bidder” (including the term 'tenderer', 'consultant' or 'service provider' in certain contexts) means any person or firm or company, every artificial juridical person not falling in any of the descriptions of bidders stated hereinbefore, including any agency, branch or office controlled by such person, participating in a procurement process.
- 24.3 “Sub-contractor” (including the term ‘Sub-vendor’/Sub-supplier’ in certain contexts) means any person or firm or company, every artificial juridical person not falling in any of the descriptions of Sub-contractors stated hereinbefore, including any agency branch or office controlled by such person, participating in a procurement process.
- 24.4 “Bidders from a country which shares a land border with India” / “Sub-contractor from a country which shares a land border with India” mentioned in para 24.1 above means;
- a) An entity incorporated, established or registered in such a country; or
 - b) A subsidiary of an entity incorporated, established or registered in such a country; or
 - c) An entity substantially controlled through entities incorporated, established or registered in such a country; or
 - d) An entity whose beneficial owner is situated in such a country; or
 - e) An Indian (or other) agent of such an entity; or
 - f) A natural person who is a citizen of such a country; or
 - g) A consortium or joint venture where any member of the consortium or joint venture falls under any of the above.
- 24.5 The beneficial owner for the purpose of clause “24.4” above will be as under;
- (a) In case of company of Limited Liability Partnership, the beneficial owner is the natural person(s), who, whether acting alone or together, or through one or more juridical person, has a controlling ownership interest or who exercises control through other means.
Explanation-
 - (i) “Controlling ownership interest” means ownership of or entitlement to more than twenty-five per cent of shares or capital or profits of the company;
 - (ii) “Control” shall include the right to appoint majority of the directors or to control the management or policy decisions including by virtue of their shareholdings or management rights or shareholders

- agreements or voting agreements;
- (b) In case of a partnership firms, the beneficial owner is the natural person(s) who, whether acting alone or together, or through one or more judicial person, has ownership of entitlement to more than fifteen percent of capital or profits of the partnership;
 - (c) In case of an unincorporated associations or body of individuals, the beneficial owner is the natural person(s) who, whether acting alone or together, or through one or more juridical person, has ownership of or entitlement to more than fifteen percent of the property or capital or profits of such association or body of individuals;
 - (d) Where no natural person is identified under (a) or (b) or (c) above, the beneficial owner is the relevant natural person who holds the position of senior managing officials;
 - (e) In case of a trust, the identifications of beneficial owner(s) shall include identification of the author of trust, the trustee, the beneficiaries with fifteen percent or more interest in the trust and any other natural person exercising ultimate effective control over the trust through a chain of control or ownership.
- 24.6 An Agent is a person employed to do any act for another, or to represent another in dealings with third person.

Qualifying Requirements for
Enlistment of agencies for conducting Preliminary and Detailed
Geotechnical Investigations for Thermal Power Projects

Applicant who wishes to participate in the enlistment shall satisfactorily establish that it fulfills the qualifying requirements stipulated hereunder:

1.0 Technical Criteria

1.1 The Applicant should have executed within the preceding seven (7) years reckoned as on last date notified for receipt of application, geotechnical investigation works achieving therein the following progress of work:

(i) Boring of at least 1000m in soil in any one (1) month in one (1) or more concurrently running contracts

And

(ii) Drilling of at least 450m in rock in any one (1) month in one (1) or more concurrently running contracts.

1.2 The Applicant should have executed at least one (1) geotechnical investigation work in water body like in river/ sea/ submergence of dam/reservoir/creek/ back waters, etc., within the preceding seven (7) years reckoned as on last date notified for receipt of application.

1.3 The Applicant should have the following manpower on its regular pay roll for minimum one year period reckoned as on last date notified for receipt of application,

1.3.1 At least two (2) qualified geotechnical engineers with PhD/ M.Tech. / M.E. / M.S. degree in Geotechnical Engineering and having minimum five (5) years work experience in the area of geotechnical investigation.

OR

1.3.2 At least one (1) qualified geotechnical engineer with PhD / M.Tech. / M.E. / M.S. degree in Geotechnical Engineering and having minimum five (5) years work experience in the area of geotechnical investigation and one (1) qualified engineering geologist with M.S. / M.Sc. degree in Geology/Engineering Geology, having minimum five (5) years work experience in the area of geotechnical investigation.

1.4 The Applicant should own the following equipment / test setup / facility:

1.4.1 Rotary boring rigs - Five (5) Nos.

1.4.2 Hydraulic feed rotary core drilling rigs -Two (2) Nos.

1.4.3 Seismic Refraction Test setup - One (1) No.

- 1.4.4 Pressure meter test set up capable to apply pressure up to 80 kg/sq.cm - One (1) No.
- 1.4.5 Laboratory set up equipped for testing the physical, engineering and chemical properties of soil and rock.

2.0 Financial Criteria

2.1 The average annual turnover of the Applicant in the preceding three (3) financial years as on the last date notified for receipt of application, should not be less than Rs. 20 millions (Indian Rupees Twenty million only).

3.0 Notwithstanding anything stated above, the Employer reserves the right to assess the capabilities and capacity of the Applicant /subcontractor/ group companies to perform the contract, should the circumstances warrant such assessment in the overall interest of the Employer.

Notes for clause 1.1 above:

- i) If the qualifying work is completed in the last seven (7) years period specified above, even if it has started earlier, the same will also be considered as meeting the qualifying requirements.
- ii) The word "executed" means the Applicant should have achieved the progress specified in the QR even if the contract is not completed / closed.
- iii) For concurrent works the same month shall be considered.

Notes for clause 1.4 above:

- i. As specified at Clause 1.4.1 and 1.4.2, applicant should own 5 nos. rotary boring rigs and 2 nos. hydraulic feed rotary core drilling rigs. In case Applicant owns less than specified 5 nos. rotary boring rigs but owns additional equivalent nos. of hydraulic feed rotary core drilling rigs (over & above the specified 2 nos.), he would be considered meeting the qualifying requirement. However, he should own not less than 2 nos. hydraulic feed rotary core drilling rigs as specified.
- ii. In case the Applicant does not own the test set up mentioned at 1.4.3 and 1.4.4, then tie up with a reputed institution shall be permitted. Applicant shall submit the agreement document in the form of joint agreement or MOU in appropriate legally enforceable form along with the application.

Notes for Project title:

The word "Thermal" shall mean coal based/ gas based/ non-conventional projects.

APPLICATION FORM

Subject: Enlistment of Agencies for Conducting Preliminary and Detailed Geotechnical Investigations for Thermal Power Projects.

To,
NTPC Ltd.,
Engineering Office Complex,
Plot No. A-8A, Sector-24, NOIDA - 201301
Distt. Gautam Budh Nagar, (U.P.)

Dear Sir,

1.0 Having examined the Enlistment Document including subsequent amendments(if any) and clarifications(if any) , which is hereby acknowledged. We the undersigned, furnish our details in full conformity with said Enlistment Document.

2.0 **Schedules of the Application form:**

In line with the requirement of the Enlistment Documents we enclose herewith the following Schedules to the Application for Enlistment:

(a) **SCHEDULE A-1 & A-2:** The documents ascertaining general particulars of our company and a power of attorney duly authorized by a Notary Public indicating that the person(s) signing and submitting the application has/have the authority to sign the application and thus the application is binding upon us during the full period of its validity. The copy of the Power of Attorney for undersigned, duly authorized and notarized has already been submitted to NTPC in line with the provisions of Enlistment document.

(b) **SCHEDULE A-3 to A-8 and SCHEDULE B:** The documentary evidence establishing in terms of Qualifying Requirement at Annexure-A to Enlistment Documents. The qualification data has been furnished as per your format enclosed with the Enlistment documents.

(e) **SCHEDULE C-1 to C-6:**

Schedule C-1: Form of Acceptance on Fraud Prevention Policy regarding abiding by Fraud Prevention Policy of NTPC displayed on its tender website <https://ntpctender.ntpc.co.in/>

Schedule C-2: Form of Declaration regarding Banning Policy of NTPC displayed on its tender website <https://ntpctender.ntpc.co.in/>

Schedule C-4 pertains to general Declarations.

Schedule C-3: General Information

Schedule C-4: Additional Information

Schedule C-5: COMPLIANCE TO MAKE IN INDIA

Schedule C-6: Restrictions on procurement from a Bidder of a country which shares a land border with India

Schedule C-7: DECLARATION ON full compliance to all provisions of Enlistment Documents

Schedule C-8: Declaration on full compliance on the Qualifying Requirements

The above schedules are duly filled and signed as per your format enclosed in 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, the enlisted agencies will be invited to submit the bids in respect of specific enquiry of Projects / Regional Head Quarters/ Corporate Centre for Conducting Preliminary and Detailed Geotechnical Investigations.
- 4.0 We confirm that the reference works declared more than three (3) times the number of works as specified in the Qualifying Requirements shall not be considered for evaluation / establishing compliance to Qualifying Requirements.
- 5.0 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. NTPC at its sole discretion may re-invite or modify or annul the process without assigning reason whatsoever.
- 6.0 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 the 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.

Thanking you,

Yours faithfully,

Date:

Signature

Place:

Name of Authorized Person.....

Designation.....

Business Address:

Email Id:

Phone No.:

Note : Applicants may note that no prescribed performa has been enclosed for 2.0 (a) SCHEDULE-A-2 (Power of Attorney). Applicants may use their own performa for furnishing the required information with the Application.

GENERAL INFORMATION

1.0 a) Full legal name of the Organization with address (Regd. Office)

b) Address of local office, if any

c) Name & Designation of person authorized for signing of Application as per Power of Attorney:

2.0

	Place	Tel. No.	E-mail ID
a) Regd. Office			
b) Local Office			

3.0 Persons to be contacted with Designation and Mobile No. for 2.0 a) and b) above

	Name	Designation	Mobile No.
a) Regd. Office			
b) Local Office			

4.0 Constitution of the Consulting Organization
(Tick whichever applicable)

- Proprietorship
- Partnership
- Ltd. Company
- Pvt. Ltd.
- PSU

5.0 Audited Annual Reports*

Financial Year

- i) 2020-21
- ii) 2019-20
- iii) 2018-19

Date: Name of Authorized Person.....

Place: Designation.....

Note:

1. Please enclose copy of the latest Registration Certificate/ Article of Association for Partnership/ Limited/ Private Limited Company.
2. *In case Audited Annual Report for the Financial Year 2020-21 is not available, certification of financial statements from a practicing Chartered Accountant shall also be considered acceptable.
3. In case of Proprietorship / Partnership Firm, Audited Annual Reports / Financial statements certified by a practicing Chartered Accountant (as applicable) may be submitted.

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

POWER OF ATTORNEY

**APPLICANT TO ATTACH THE POWER OF ATTORNEY
IN ACCORDANCE WITH CLAUSE 2.0 (a) OF APPLICATION FORM**

DETAILS FOR QUALIFYING REQUIREMENTS

Technical Criteria 1.1(i)

In order to satisfy the requirements stipulated at Clause 1.1 (i) of Qualifying Requirements (Annexure-A), We declare that We have executed Geo-technical Investigation works achieving therein the “ **Boring of at least 1000m in soil in any one (01) month in one (1) or more concurrently running contracts within the preceding seven (7) years reckoned as on last date notified for receipt of Application for Enlistment**”, as per the details given below:

(i) First set of Ref. Work(s) in any one (01) month i.e..... (Specify period)

Sl. No	Name of Contract & Project location	Name & Address of Owner/Client	LOA/Ref.No. and date of award of work	Date of commencement of work	Date of completion of work		Scope and Description of work	Boring in soil executed in any one(1) month		Remarks, if any
					As per Contract schedule	Actual		Month & Year	Boring in soil (RM)	
1										
2										
3										

Note: (i) Certificates from clients in support of meeting requirements are enclosed at Annexure.....

We further declare that we have not furnished more than three (03) number / sets of reference Works against fulfillment of the subject requirement of Qualifying Requirements.

Signature.....

Name of authorized
person having power of attorney.....

Designation.....

Date and Place.....

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.

DETAILS FOR QUALIFYING REQUIREMENTS

Technical Criteria 1.1(ii)

In order to satisfy the requirements stipulated at Clause 1.1 (ii) of Qualifying Requirements (Annexure-A), We declare that We have executed Geo-technical Investigation works achieving therein the '**Drilling of atleast 450m in rock in any one (01) month in one (01) or more concurrently running contracts**' within the preceding seven (7) years reckoned as on last date notified for receipt of Application for Enlistment, as per the details given below:

(i) First set of Ref. Work(s) in any one (01) month i.e..... (Specify period)

Sl. No	Name of Contract & Project location	Name & Address of Owner/Client	LOA/Ref.No. and date of award of work	Date of commencement of work	Date of completion of work		Scope and Description of work	Drilling in rock executed in any one(1) month		Remarks , if any
					As per Contract schedule	Actual		Month & Year	Drilling in rock (RM)	
1										
2										
3										

Note: (i) Certificates from clients in support of meeting requirements are enclosed at Annexure.....

We further declare that we have not furnished more than three (03) number / sets of reference Works against fulfillment of the

subject requirement of Qualifying Requirements.

Signature.....

Name of authorized
person having power of attorney.....

Designation.....

Date and Place.....

Seal of firm.....

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.

DETAILS FOR QUALIFYING REQUIREMENTS

Technical Criteria 1.2

In order to satisfy the requirements stipulated at Clause 1.2 of Qualifying Requirements (Annexure-A), We declare that We have executed **‘at least one (01) Geo-technical Investigation work in water body like in river/ sea/ submergence of dam/ reservoir/ creek/ back waters etc.’** within the preceding seven (7) years reckoned as on last date notified for receipt of application as per the details given below:

Sl. No.	Description	Details [1st Ref. Work(s)]	Details [2nd Ref. Work(s)]	Details [3rd Ref. Work(s)]
2.0	Experience details of Geotechnical investigation works in order to fulfill the criteria mentioned at Clause 1.2 of Qualifying Requirements			
2.1	Name of the Project for which Geotechnical Investigation works has been conducted			
2.2	Name of the Owner/ Client			
2.3	Address of the Owner/ Client			
2.4	Name, designation and contact details of the person			

Sl. No.	Description	Details [1 st Ref. Work(s)]	Details [2 nd Ref. Work(s)]	Details [3 rd Ref. Work(s)]
	to be contacted at the Office of Owner/ Client			
2.5	Specify the type of water body like: river/ sea/ submergence of dam/ reservoir/ creek/ back waters, etc.			

Note: (i) Certificates from clients in support of meeting requirements are enclosed at Annexure.....

We further declare that we have not furnished more than three (03) numbers of reference Works against fulfillment of the subject requirement of Qualifying Requirements.

Signature.....

Name of authorized

person having power of attorney.....

Designation.....

Date and Place.....

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.

DETAILS FOR QUALIFYING REQUIREMENTS

1.0 With reference to our Application for Enlistment of Agencies for Conducting Preliminary and Detailed Geotechnical Investigations, we hereby confirm that the number of reference works quoted by us in Schedule-A -3, A-4 & A-5 of our Application for Enlistment for establishing compliance to the specified Qualifying Requirements are not more than three set of reference works as specified in the Qualifying Requirements.

The number of reference works quoted by us for different categories and different requirements are tabulated below:

Sl. No.	Requirement	Maximum number of Set of Reference Works allowed to the Applicant to quote in their Application	Number of Set of Reference Works quoted (to be filled by the Applicant)
1	Boring of atleast 1000m in soil in any one (01) month in one (01) or more concurrently running contracts.	3	
2.	Drilling of atleast 450m in rock in any one (01) month in one (01) or more concurrently running contracts	3	
3.	At least one (01) Geo-technical Investigation work in water body like in river/ sea/ submergence of dam/ reservoir/ creek/ back waters, etc.	3	

2.0 We also confirm that the Reference Works declared more than three times the number of works as specified in the Qualifying Requirements shall not be considered for evaluation/establishing compliance to the Qualifying Requirements (QR).

3.0 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 Qualifying Requirements shall be offered by us.

Note: 1. * Strike out whichever is not applicable.

Signature.....

Name of authorised
person having power of attorney.....

Designation.....

Date and Place.....

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.

DETAILS FOR QUALIFYING REQUIREMENTS

Technical Criteria 1.3

In order to satisfy the requirements stipulated at Clause 1.3 of Qualifying Requirements (Annexure-A), We declare that We have the following man power on our regular pay roll for minimum one year period reckoned as on last date notified for the receipt of application for the Qualifying requirements mentioned below:

1.3.1 At least two (2) qualified geotechnical engineers with PhD/ M.Tech. / M.E. / M.S. degree in Geotechnical Engineering and having minimum five (5) years work experience in the area of geotechnical investigation.

OR

1.3.2 At least one (1) qualified geotechnical engineer with PhD / M.Tech. / M.E. / M.S. degree in Geotechnical Engineering and having minimum five (5) years work experience in the area of geotechnical investigation and one (1) qualified engineering geologist with M.S. / M.Sc. degree in Geology/Engineering Geology, having minimum five (5) years work experience in the area of geotechnical investigation.

Details of the above as per given below:

(i) **Geotechnical Engineer**

Sl.No	Name of the Geotechnical Engineer	Qualification : Ph.D/M.Tech/M.E/M.S degree in Geotechnical Engineering (Indicate the qualification as applicable)	Institute	Total post qualification work experience in the area of Geotechnical Investigations (in years)	On regular pay roll of the agency as on last date of receipt of application (in years)

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OR

(ii) **Engineering Geologist**

Sl.No	Name of the Geologist	Qualification: M.S/M.Sc degree in Geology/Engineering Geology (Indicate the qualification as applicable)	Institute	Total post qualification work experience in the area of Geotechnical Investigations (in years)	On regular pay roll of the agency as on last date of receipt of application (in years)

Note: Applicant/Agency necessarily required to furnish the detailed Bio-data of manpower (each of Geotechnical Engineer / Geologist indicated above) and necessarily enclose the proof of employment like PF statement for the period worked in the agency as on last date of receipt of application

Signature.....
 Name of authorised
 person having power of attorney.....
 Designation.....
 Date and Place.....

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.

DETAILS FOR QUALIFYING REQUIREMENTS**Technical Criteria 1.4**

In order to satisfy the requirements stipulated at Clause No. 1.4 of Qualifying Requirement (Annexure-A), We declare that we own the following equipment / test setup / facility as on last date notified for the receipt of application, as per the details given below:.

(i) Details of Equipment

Sl. No.	Name of Equipment	Minimum Quantity required	Quantity available (in Nos)	Remarks, if any
1	Rotary boring rigs	5 Nos.		
2	Hydraulic feed rotary core drilling rigs	2 Nos.		

Note:

- (i) Applicant/Agency necessarily required to furnish the certificate of ownership of equipment mentioned above, duly certified by Chartered Accountant.
- (ii) Applicant should own 5 nos. rotary boring rigs and 2 nos. hydraulic feed rotary core drilling rigs. In case Applicant owns less than specified 5 nos. rotary boring rigs but owns additional equivalent nos. of hydraulic feed rotary core drilling rigs (over & above the specified 2 nos.), he would be considered meeting the qualifying requirement. However, he should own not less than 2 nos. hydraulic feed rotary core drilling rigs as specified.

(ii) Details of Test setup / facility

Sl. No.	Test setup/facility	Owned / Tie up (strike off whichever is not applicable)	In case of tie up, the name and address of Institution / Laboratory with whom tied up	Type of document enclosed (Certificate of ownership / Joint agreement / MOU) indicate as applicable	Remarks, if any
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1	Seismic Refraction Test setup	Owned / Tie up			
2	Pressure meter test set up capable to apply pressure up to 80 kg/cm ²	Owned / Tie up			
3	Laboratory set up equipped for testing the physical, engineering and chemical properties of soil and rock	Owned			Laboratory test set up to be owned by applicant

Note:

1. In case test setup/ facility is owned by Applicant/Agency, then Applicant/Agency necessarily required to furnish the certificate of ownership of equipment mentioned at S.No 1, 2 and 3 above, duly certified by Chartered Accountant.
2. In case of tie up for test setup/facility, then Applicant/Agency necessarily required to furnish the agreement document in the form of joint agreement or MOU in appropriate legally enforceable form along with the bid.

Signature.....
Name of authorised
person having power of attorney.....
Designation.....
Date and Place.....

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.

DETAILS FOR QUALIFYING REQUIREMENTS

Financial Criteria

In order to satisfy the requirements stipulated at Clause No. 2.0 of Qualifying Requirement (Annexure-A), We confirm that our average annual turnover in preceding three (3) financial years as on the last date notified for receipt of application for enlistment is not less than **Rs. 20 Million (Indian Rupees Twenty million only) or Rs 2.0 Crore** (Indian Rupees Two Crore only).

Sl. No.	Financial Year	Amount in Rs. (Crore)
1.	2020-21	
2.	2019-20	
3.	2018-19	
4.	Average Annual Turnover in the preceding three (3) Financial Years as on last date notified for receipt of application.	
5.	We have enclosed Audited financial statements for the last 3 financial years	Yes*/No*

* Applicant to strike out whichever is not applicable.

Date : (Signature).....
Place : (Printed Name).....
(Designation).....
(Seal).....

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

(DECLARATION ON FRAUD PREVENTION POLICY)

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.

Yours faithfully

Date : (Signature).....
Place: (Printed Name of Authorized person
having power of attorney).....
(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

(DECLARATION ON BANNING POLICY)

- 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.

Yours faithfully,

Date : (Signature).....

Place : (Printed Name).....

(Designation).....

(GENERAL DECLARATION)

Dear Sirs,

We hereby confirm that if any information / data furnished by us in the Schedules along with Application for Enlistment are 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 : (Signature).....

Place: (Printed Name of Authorized person
having power of attorney).....

(Designation).....

(ADDITIONAL INFORMATION)

Dear Sirs,

We hereby furnish the following additional information:

Date : (Signature).....

Place: (Printed Name of Authorized person
having power of attorney).....
(Designation).....
(Company Seal)

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

**(COMPLIANCE TO MAKE IN INDIA)
(Details as per Annexure-B)**

Dear Sirs,

We confirm that we fulfill the requirements of Local content for Class-I local supplier. The details of the location(s) at which the local value addition are as under:

Sl. No.	Description of Goods & Services	Details of the location(s) at which the local value addition is made

We confirm that we fulfill the requirements of Local content for Class-I local supplier for Item(s)/ works/ services of the NIA, as applicable. We further confirm that in case such item(s) are bought-out for us, we shall source the same from Class-I local supplier only.

We undertake that a certificate from the statutory auditor or cost auditor (in the case the bidder is a company) or from a practicing cost accountant or practicing chartered accountant (in respect of bidders other than companies) certifying the percentage of local content shall be submitted by us prior to submission of our last bill for payment.

##We further confirm that we are presently not debarred / banned by any other procuring entity for violation of 'Public Procurement (Preference to Make in India), Order 2017' (PPP-MII Order) dated 15.06.2017 and its subsequent revisions / amendments issued by Department for Promotion of Industry and Internal trade (DPIIT)."

##In case a Bidder has been banned/debarred by any other procuring entity for violation of 'Public Procurement (Preference to Make In India), Order 2017' (PPP-MII Order) dated 15.06.2017 and its subsequent revisions / amendments issued by Department of Industrial Policy and Promotion (DIPP), the same may be declared by Bidder by striking off para above and declaring the details of banning using additional sheets.

Date : (Signature).....

Place: (Printed Name of Authorized person
having power of attorney).....

(Designation).....

Annexure-B to NIA

Sub: Preference to Make In India and Eligibility for Participation/ granting of Purchase Preference to Class-I local suppliers- regarding

It is the policy of the Government of India to encourage 'Make in India' and promote manufacturing and production of Goods and Services in India with a view to enhancing income and employment. In this regard, the following guidelines, concerning the procedure to be adopted for granting Eligibility for Participation/purchase preference to local suppliers, are hereby issued:

1.0 Definitions:

- a) **'Local content'** means the amount of value added in India which shall, unless otherwise prescribed by the Nodal Ministry, be the total value of the goods, services or works procured (excluding net domestic indirect taxes) minus the value of imported content in the goods, services or works (including all customs duties) as a proportion of the total value, in percent.
- b) **'Class-I local supplier'** means a supplier or service provider, whose goods, services or works offered for procurement, meets the minimum local content as prescribed.

'Class-II local supplier' means a supplier or service provider, whose goods, services or works offered for procurement, meets the minimum local content as prescribed for 'Class-II local supplier' but less than that prescribed for 'Class-I local supplier'.

'Non-Local supplier' means a supplier or service provider, whose goods, services or works offered for procurement, has local content less than that prescribed for 'Class-II local supplier'.

- c) **'L1'** means the lowest tender or lowest bid or the lowest quotation received in a tender, bidding process or other procurement solicitation as adjudged in the evaluation process as per the tender or other procurement solicitation.
- d) **'Margin of purchase preference'** means the maximum extent to which the evaluated bid price of a 'Class-I local supplier' may be above the L1 for the purpose of purchase preference.
- e) **Fraud Prevention Policy** – shall mean the policy related to prevention of fraud displayed on NTPC tender website www.vendor.ntpc.co.in
- f) **Policy & Procedure for Withholding & Banning of Business Dealings** – shall mean the policy related to Withholding & Banning of Business Dealings displayed on NTPC tender website www.vendor.ntpc.co.in

2.0 Eligibility for Participation: Only Class-I local suppliers are eligible to Bid. Bids received (if any) from Class-II Local Supplier / Non Local Supplier shall be out rightly rejected.

3.0 Minimum Local Content: The local content requirement to categorize a Bidder/Supplier as 'Class-I local supplier' is minimum 50%.

4.0 DELETED

5.0 Verification of Local Content:

5.1 The 'Class-I local supplier' shall be required to provide, in the Application Form , self-certification / declaration that the Item offered meets the local content requirement for 'Class-I local supplier' and shall give details of the location(s) at which the local value addition is made.

5.2 The 'Class-I local supplier' shall be required to provide a certificate from the statutory auditor or cost auditor of the company (in the case of companies) or from a practicing cost accountant or practicing chartered accountant (in respect of suppliers other than companies) giving the percentage of local content during execution prior to submission of last bill for payment.

In case aforesaid Certificate furnished by Contractor/Vendor is not in line with the declaration in respect of Local content in their bid, same shall be treated as false declaration.

5.3 DELETED.

5.4 False declarations will be dealt in line with the Fraud Prevention Policy and Policy & Procedure for Withholding and Banning of Business Dealings of NTPC.

5.5 In case of false declaration / violation of the provision of PPP-MII Order, if a bidder has been debarred / banned by NTPC, then the fact and duration of debarment should be promptly brought to the notice of the Member-Convenor of the Standing Committee (as per para 16 of PPP-MII Order) and the Department of Expenditure through Ministry of Power, GOI.

5.6 A supplier who has been debarred / banned by any other procuring entity for violation of 'Public Procurement (Preference to Make In India), Order 2017' (PPP-MII Order) dated 15.06.2017 and its subsequent revisions / amendments issued by Department of Industrial Policy and Promotion (DIPP) shall not be eligible for evaluation/preference, as applicable, under the aforesaid procedures for duration of the debarment. The 'Class-I local supplier' shall be required to furnish a confirmation in this regard in the Application form.

6.0 Local Sourcing

6.1 The Applicants /its Sub-vendors must be Class-I local supplier for Item(s)/ works/ services mentioned at the NIA, as applicable, in case such item(s) are Self Manufactured/Bought-out.

6.2 The Bidder / Contractor are requested to encourage and promote domestic manufacturing and production of goods and services by sourcing goods and services applicable under the contract / package from domestic suppliers / service providers. In this regard, Bidder shall also follow guidelines / advisory issued by Government of India from time to time, to the extent applicable to them, regarding promotion of local sourcing of goods including Bought out Items and services.

**(DECLARATION ON
Restrictions on procurement from a Bidder of a country which shares a land border
with India)**

1) We have read the contents of the clause “Restrictions on procurement from a Bidder of a country which shares a land border with India” in this Application Document and agree to abide by this provisions.

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.

In case of a successful applicant, if it is established that the Applicant has not complied with terms of aforesaid Clause, during execution of contract, this would be a sufficient ground for immediate termination of the contract and shall be dealt accordingly.

Yours faithfully,

Date : (Signature).....

Place : (Printed Name).....

(Designation).....

**(DECLARATION ON
full compliance to all provisions of Enlistment Documents)**

We accept the condition “**full compliance to all provisions of Enlistment Documents**” Acceptance of above condition shall be considered as our confirmation that any deviation to the any Provisions found anywhere in their Proposal, implicit or explicit, shall stand unconditionally withdrawn, without any cost implication whatsoever to the Employer, failing which the application shall be rejected.

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.

In case of a successful applicant, if it is established that the Applicant has not complied with terms of aforesaid Clause, during execution of contract, this would be a sufficient ground for immediate termination of the contract and shall be dealt accordingly.

Yours faithfully,

Date : (Signature).....

Place : (Printed Name).....

(Designation).....

(Declaration on full compliance on the Qualifying Requirements)

We accept the condition “**full compliance on the Qualifying Requirements**” Acceptance of above condition shall be considered as our confirmation to the following conditions:

a) The numbers of reference works quoted by the Applicant in Schedules of their Application, for establishing compliance to the Qualifying Requirements (QR) specified to the Enlistment Documents, are not more than three (3) times the number of works as specified in the Qualifying Requirements. The number of reference works declared more than three (3) times the number of works as specified above shall not be considered for evaluation / establishing compliance to the Qualifying Requirements (QR) as specified at the Enlistment Documents.

b) No change or substitution in respect of reference works, as specified, by new/additional works for meeting the specified Qualifying Requirements (QR) shall be offered by the Applicant.

c) The reference works whose details have been declared as per the specified formats in schedules shall only be considered to ascertain the Applicant's compliance to the Qualifying Requirements (QR) specified at Annexure-A. However, the Applicants are not permitted to quote more than three (3) times the number of reference works as specified in the Qualifying Requirements.

The Employer at its discretion may seek any clarification and/or documentary evidence only for the reference works as mentioned above. However, no change or substitution of the reference works by new/additional works for conforming to the specified QR shall be sought, offered or permitted.

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.

In case of a successful applicant, if it is established that the Applicant has not complied with terms of aforesaid Clause, during execution of contract, this would be a sufficient ground for immediate termination of the contract and shall be dealt accordingly.

Yours faithfully,

Date : (Signature).....

Place : (Printed Name).....

(Designation).....