

EXPRESSION OF INTEREST (EoI)

for

**Selection and Empanelment of agencies for
Solid waste processing facilities in Urban Local Bodies of Uttar Pradesh**

Issued on: July 2023

Employer	State Mission Director, SBM(U)
Represented by	State Mission Director SBM Directorate, Gomti Nagar Extension Lucknow – 226002 E-mail: sbmdlup@gmail.com

***EOI for Selection and Empanelment of agencies for Solid waste processing facilities in
Urban Local Bodies of Uttar Pradesh***

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Instructions to Bidders

Part I Standard

1.0 Definitions

- a) **“Addendum”** means the clarification issued against the bidder’s query placed before the employer in writing. It may be released in form of addendum or corrigendum.
- b) **“Authority”** means State Mission Directorate/ULB who have invited the bids for services
- c) **“Employer”** means the Authority who have invited the bids for the services and/ or with which the selected Bidder signs the Contract for the Services and to which the selected bidder shall provide services as per the terms and conditions of the scope of the work
- d) **“Bidder”** means any entity or associations of person or organization /companies / firms who have been requested to submit their EOI that may provide or provides the Services to the Employer under the Contract.
- e) **“Contract”** means the Contract signed by the Parties and all the attached documents listed in its Clause, that is the General Conditions (GC), the project Specific Conditions (SC), and the Appendices.
- f) **“Project specific information”** means such part of the Instructions to Bidders used to reflect specific project and assignment conditions.
- g) **“Day”** means calendar day.
- h) **“Government”** means (Authority) State Mission Directorate/ULB
- i) **“Instructions to Bidders”** means the document which provides Bidders with all information needed to prepare their EOI.
- j) **“Personnel”** means professionals and support staff provided by the Bidder or by any Sub Bidder and assigned to perform the Services or any part thereof; **“Foreign Personnel”** means such professionals and support staff who at the time of being so provided had their domicile outside the Government’s country; **“Domestic Personnel”** means such professionals and support staff who at the time of being so provided had their domicile in India.
- k) **“Proposal”** means the Technical Proposal.
- l) **“EoI”** means the Expression of Interest prepared by the Employer for the empanelment of Bidders.
- m) **“Assignment / job”** means the work to be performed by the Bidder pursuant to the Contract.
- n) **“Terms of Reference” (ToR)** means the document included in the EoI as Section which explains the objectives, scope of work, activities, tasks to be performed, respective responsibilities of the Employer and the Bidder, and expected results and deliverables of the job.
- o) **“GoUP”** means Government of Uttar Pradesh.
- p) **SBM** means Swachh Bharat Mission (Urban)

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NOTICE INVITING EXPRESSION OF INTEREST

Notification No.: PMU/6720/476/2023

Date: 18/07/2023

State Mission Directorate, Swachh Bharat Mission (Urban), Urban Development Department, Government of Uttar Pradesh, invites expression of interest for Empanelment of agencies for Selection and Empanelment of agencies for Solid waste processing facilities in Urban Local Bodies of Uttar Pradesh in Urban Local Bodies of Uttar Pradesh.

EoI document can downloaded from the website <https://upsbmurban.in/> from 19/07/2023 onwards.
Other details can be seen in the EoI document.


Sd/- 18/7/23

Mission Director

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SCHEDULE OF EVENTS

S.NO.	EVENT	DATE	VENUE
1	Date for downloading EOI document	19.07.2023 From 04:00 pm	
2	Last Date for Receiving Queries & Comments	25.07.2023 Till 5 :00 pm	sbmdlup@gmail.com
3	Date of Pre-Bid Meeting	26.07.2023 At 12 :00 pm	Revati Hall, 2nd Floor, SBM State Mission Directorate, Gomti Nagar Extension Lucknow – 226002
3	Last Date for Submission of Expression of Interest (EoI Due Date)	08.08.2023 5:00 pm	
4	Opening of EoI	09.08.2023 12:00 pm	

The Schedule indicated above is tentative and State Mission Director, SBM State Directorate, Lucknow may change any or the entire schedule under intimation to Bidders.

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1. INTRODUCTION

Uttar Pradesh is the 4th largest state in terms of geographical area covering 9.0 per cent of the country's geographical area. It is also the most populous state in India consisting of 19.96 crore (199.6 million) inhabitants as per 2011 Census, out of which 15.51 crore live in rural areas and 4.45 crore in urban areas. There has been a net addition of about 1.09 crore persons in the urban areas during 2001-2011. Thus, about 16.50% of the total population and 11.80% of the urban population of India reside in Uttar Pradesh. Out of 4041 statutory towns of India 762 (i.e., 16%) exist in Uttar Pradesh. Percentage of urban population to total population of the State stands at 22.28 as per 2011 Census whereas this percentage was 20.78 in 2001. Thus, an increase of 1.50 percentage points has been recorded in the urban population during 2001-2011.

However, the level of urbanization (22.28%) in the State is quite low as compared to all India figures of 31.16%. The decadal growth of urban population during 2001- 2011 has been 28.82 per cent as against 31.80 per cent during 1991-2001. Administratively, Uttar Pradesh is divided into 75 districts under 18 divisions which are Agra, Aligarh, Azamgarh, Allahabad, Kanpur, Gorakhpur, Chitrakoot Dham, Jhansi, Devi Patan, Faizabad, Bareilly, Basti, Vindhyaachal (Mirzapur), Moradabad, Meerut, Lucknow, Varanasi and Saharanpur. There are 8 cities with million plus population. At present there are 762 Urban Local Bodies (ULBs) in the state with about total area 6264.57 sq km. The spread of Urban Local Bodies (ULB) according to their status is as follows:

S.N	Urban Local Bodies	Numbers
1	Municipal Corporations	17
2	Nagar Palika Parishads (Municipalities)	200
3	Nagar Panchayats (Municipal Boards)	545
	Total	762

The spread of Urban Local Bodies (ULB) according to population (as per 2011 Census) size is as follows:

S.N	Urban Local Bodies with Population	Numbers
1	More than 10, 00,000 (1million)	08
2	Between 5,00,000 to 10,00,000	08
3	Between 3,00,000 to 5,00,000	04
4	Between 1,00,000 to 3,00,000	53
5	Between 50000 to 1,00,000	57
6	Between 20000 to 50000	336
7	Less than 20,000	296
	Total	762

The launch of SBM-U, coupled with the promulgation of SWM Rules 2016, C&D waste rules, Plastic Waste Management rules etc, all combined to set the stage for India to accelerate its progress on effective Solid Waste Management. Moreover, the achievements under SBM-Urban 1.0 need to be sustained in the long run with creation of adequate infrastructure, and their implementation needs to be accelerated manifold. Hence, SBM-U 2.0 is needed to achieve the vision of a "Garbage Free" Urban India. The vision of SBM 2.0 for scientific Municipal Solid Waste Management (MSWM) is that cities will ensure segregation of waste at

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source, process waste in segregated fractions, recover resources and recycle to the maximum extent and minimize landfilling to 20% or less (including reject material coming out of processing).

2 SCOPE OF WORK

State Mission Directorate, Swachh Bharat Mission (Urban), Urban Development Department, Government of Uttar Pradesh) invites EOI for **Selection and Empanelment of agencies for Solid waste processing facilities in Urban Local Bodies of Uttar Pradesh** in Urban Local Bodies of Uttar Pradesh. The technology proposed by the bidder shall be approved by Ministry of Environment & Forest, Municipal Solid Waste Management Rules, 2016 and other applicable laws, rules, guidelines, and best engineering practice.

Currently **under SBM 1.0**, 30 SWM plants are being developed by State Mission Directorate through the implementing agency C&DS-Jal Nigam in the ULBs. The civil construction is being done by C&DS-Jal Nigam. The bidder/agency has to supply, install, test and commission the machineries and equipment in these SWM Plant along with development of SLF with O&M facility of the following categories: -

Categories of Required SWM Plant	No. of ULBs
up to 100 TPD	25
101-200 TPD	5
201-300 TPD	-
301-500 TPD	-

Apart from the above SWM Processing Plant, under **SBM-U 2.0**, all the 762 ULBs of Uttar Pradesh have prepared City Solid Waste Action Plan (CSWAP) with duly identifying the existing MSWM system, existing waste generation, projected waste generation till the year 2026, segregation as wet and dry waste, the available processing capacity, and the gap thereof. As per CSWAP of 762 ULBs, these ULBs can be categorized in the following categories based on gap in Solid Waste Processing and the requirement of solid waste processing facility including wet and dry waste processing facility along with sanitary landfill for processed inerts. The civil construction and supply & installation of machineries & equipment is planned to be done by C&DS-Jal Nigam. The bidder/agency has to Operate & Maintain the SWM Plant and related SLF of the following categories:

Categories of Required SWM Plant	No. of ULBs
up to 100 TPD	739
101-200 TPD	14
201-300 TPD	1
301-500 TPD	4
>500 TPD*	4

**Not in the scope of this EOI*

The services will be procured from empaneled agencies as and when required in such quantity as requisitioned by various urban local bodies and other relevant departments in Uttar Pradesh are detailed below: -

1. To comply with Solid Waste Management Rules, 2016 and applicable laws, rules, guidelines in India and best Engineering practices through Public Private Participation.
2. These agencies will offer end to end solution or an integrated solution for solid waste processing. This will involve processing of the dry waste/ wet waste and scientific disposal of the rejects / inert.
3. Provide adequate in-house/outsourced technical support for trouble shooting, maintenance, repairs,

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etc. throughout the duration of its engagement by the ULBs, including during operational phase of the project.

4. Handle, manage and dispose any residue, left over, effluents, and emissions in the process in accordance with local and national rules and regulations.
5. The agencies will share detailed proposal for Supplying, Installation, Testing & Commissioning of machineries & equipment for up to 100,101-200,201-300, 301-500 TPD solid waste processing facility including Dry & wet waste along with development of Sanitary Landfill for the processed inerts with O&M facilities in Urban Local Bodies of Uttar Pradesh.
6. The scope of work is subject to change as per the mandate of the Authority.

Note: - The empanelment of agencies does not guarantee them that the work will be allotted to them. It shall be sole prerogative of the ULBs whether to select the agencies from the empaneled list.

4 EVALUATION PROCESS

- a) A Technical Committee (“Committee”) set up with the representatives of the State SBM Directorate, other concerned Departments, and a panel of nominated experts in the field will review the Application with respect to eligibility and qualifications criteria prescribed in this EoI.
- b) Based on the technical review, the Committee will make a recommendation on the short-listed Applicants to the Authority. Accordingly, the Authority may invite the shortlisted Applicants to make detailed presentation on proposed methodology and work plan.
- c) The Committee reserves the right to accept any or none of the Applications submitted and will evaluate Applications based on the basis of best value and the lowest cost. In the event that the Authority rejects or annuls all the Applications, it may, in its discretion, invite all eligible Applicants to submit fresh Applications hereunder.

4.1 Essential Pre-Qualification Eligibility Criteria

- a) To be eligible the applicant shall fulfill the following essential pre-qualification criteria: -

S. No.	Eligibility Criteria	Supporting Documents
1.	The Bidder shall be a private company, firm, LLP, entity incorporated in India under the (Indian) Companies Act 1956/ 2013 or a company formed under any other law for the time being in force in India and incorporation should not be less than 3 years old. The Bidder shall be required to submit a true Copy of its Incorporation Certificate.	Copy of Certificate of Incorporation / Relevant document issued by Government
2.	The Bidder or its associate companies should not be blacklisted/ debarred or terminated due to Non-Performance under any contract by any Government/ Government Board/ any Urban Local Body of the Country / Corporation Company/ Statutory Board/ PSU company/ Government of any sovereign countries in the last 3 years.	Self-Certification by the bidder

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3.	The Bidder must have a valid GSTN certificate.	Copy of GSTN Certificate
4.	<p>The Bidder should have 1 completed/ *Ongoing project of Municipal Solid waste processing facility with any of the approved technologies along with O&M facility in India in any of Central or State Government/ urban Local bodies in India of minimum 80% of the higher side of range in TPD capacity within last 3 years till the date of submission of this bid</p> <p style="text-align: center;">Or</p> <p>The Bidder should have 2 completed/ *Ongoing project of Municipal Solid waste processing facility with any of the approved technologies along with O&M facility in India for any of Central or State Government/ urban Local bodies in India of minimum 50% of the higher side of range in TPD capacity within last 3 years till the date of submission of this bid</p> <p style="text-align: center;">Or</p> <p>The Bidder should have 3 completed/ *Ongoing project of Municipal Solid waste processing facility with any of the approved technologies along with O&M facility in India in any of Central or State Government/ urban Local bodies in India of minimum 40 % of the higher side of range in TPD capacity within last 3 years till the date of submission of this bid</p> <p>(*Ongoing: If the work is ongoing then the bidder should have 4 years of continuous operation and maintenance of the waste Processing facility till submission of bid document).</p> <p style="text-align: center;">Or</p> <p>The Bidder should have completed/*Ongoing Projects relating to scientific dumpsite reclamation/ Bioremediation of dumpsite facility with any of the approved technologies in India in any of Central or State Government/ Urban Local Bodies in India within last 5 financial Years prior to the due date of this Bid Submission as per the following details:</p> <p style="margin-left: 40px;">a) One Project of Minimum (80% of higher TPD capacity*365* 5 Year) Metric Ton</p> <p style="text-align: center;">Or</p> <p style="margin-left: 40px;">b) Two Projects of Minimum (50% of higher TPD capacity*365* 5 Year) Metric Ton</p> <p style="text-align: center;">Or</p> <p style="margin-left: 40px;">c) Three Projects of Minimum (40% of higher TPD capacity*365* 5 Year) Metric Ton</p>	Copy of contract agreement / work orders and successful completed/ ongoing performance certificate by competent Authority.

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	(*Ongoing: If the work is ongoing then the bidder should have Received at least 60% payment of the total contract value till submission of bid document).	
5.	Demonstrated prior experience of sale of Compost or RDF or similar to cement plant or similar facility in the past 5 years for minimum cumulative supply of quantity of 20% of the higher side of the range of TPD in at least 1 year continuous from all projects or total cumulative supply of minimum 20% of the higher side (range of TPD) *365 in a year from all projects.	Joint agreement with Cement Plant / Similar Facility along with proof of sale/supply. Bidders need to submit the Delivery challan
6.	Demonstrated prior experience of development of Sanitary Land Fill with O&M facility in the past 5 years for minimum cumulative supply of quantity of 20% of the higher side of the range of TPD in at least 1 year continuous from all projects or total cumulative supply of minimum 20% of the higher side (range of TPD) *365 in a year from all projects.	Copy of contract agreement / work orders and successful completed/ ongoing performance certificate by competent Authority.
7.	Bidder should have average Annual Turnover of last three (3) financial years, i.e., 2020-21,2021-22 & 2022-23 at-least INR annually of the overall estimated of the Project capital cost as mentioned below. Up to 100 TPD- 3.6 Cr. (Considering Estimated Project Capital Cost = 12 Cr., so turnover is 30% of Project Cost) 101- 200 TPD- 7.2 Cr. (Considering Estimated Project Capital Cost = 24 Cr., so turnover is 30% of Project Cost) 201- 300 TPD- 12 Cr. (Considering Estimated Project Capital Cost = 36 Cr., so turnover is 30% of Project Cost) 301-500 TPD- 18 Cr. (Considering Estimated Project Capital Cost = 60 Cr., so turnover is 30% of Project Cost)	Copy of audited balance sheet as proof of turnover, highlighting the turnover part along with Statutory Auditor certificate in clear terms must be submitted. Copy of the audited profit and loss account along with audited balance sheet of the company showing turnover of the company for last three years /Certificate from the Statutory auditor / CA clearly specifying the annual turnover for the specified years' Service Support.
8.	The Bidder shall have positive Net Worth Project cost at the close of the preceding financial year as on date of 31.3.2023. In each of the Financial Years, Mention the Net Worth of last 3 Financial Years preceding the Bid Due Date]	CA Certificate for Net Worth
9.	Bidder should be a profit-making company and should not have incurred any loss in the last three financial years i.e., 2020-21,2021-22 & 2022-23	Audited balance sheet to be submitted for the same

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10.	Bidder shall submit latest Bank Solvency Certificate for a value not less than minimum 5-10 Cr. (not older than 6 months) Up to 100 TPD- 3 Cr. 101- 200 TPD- 6 cr. 201- 300 TPD- 9 cr. 301-500 TPD- 15 cr.	Issued by bank-on-bank letter head.
11.	Bidder should not be declared insolvent/ bankrupt in the last five years.	Self-Declaration Certificate of Rs.100 Stamp Paper

- b) The Bidders are required to furnish documents to establish their eligibility for each of the above clauses. Relevant portions, in the documents submitted in pursuance of eligibility criterion mentioned above, should be highlighted. If bid is not accompanied by all the above documents mentioned, the same would be rejected. Undertaking for subsequent submission of any of the above document will not be entertained. However, The Authority reserves the right to seek fresh set of documents or seek clarifications on the already / submitted documents. All documents should be submitted in hardcopy (one set).
- c) Upon verification, evaluation / assessment, if in case any information furnished by the Bidder is found to be false / incorrect or incomplete, their bid shall be summarily rejected and no correspondence on the same shall be entertained.
- d) The Bid Submitted by any Bidder not fulfilling the Eligibility Conditions above will not be considered. The bidder should also adhere to the Annexures with a declaration from an authorized signatory. A copy of Power of Attorney should also be attached along the same.
- e) Each Annexure will be treated as a separate bid for purpose of evaluation, processing, and ordering.
- f) **No Consortium/JV is allowed in this EOI.** Experience of Parent / Subsidiary company of the bidder will also be considered for evaluation. However previous experience of the entity in a JV/Consortium will be considered for evaluation if the bidder under evaluation is lead bidder (>51% partnership) in the experience under consideration (i.e., if the bidder is showcasing in its experience that it was the lead partner in the project with more than 51% equity/holding then whole of experience will be considered for evaluation).

5 TECHNICAL EVALUATION

The technical evaluation will be done for only those bidders who qualify the essential pre-qualification eligibility criteria. The detailed technical evaluation of EOI satisfying the below-mentioned conditions shall be done. The Criteria, sub-criteria and marking system for detailed evaluation shall be as follows:

Up to 100 TPD (Category- 1)

Sr No.	Specific experience of the bidder firm	Document Proof to be Furnished	Marks Allotted
A	Average Annual Turnover of last 3 consecutive years i.e., 2019-20, 2020-21, 2021-22 & 2022-23 (As per the bank / CA statement)	Average Annual Turnover statement	20 Marks

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		certified from CA. and Balance Sheet	
1	3.6 Cr. to 5 Cr.		10
2	More than 5 Cr. To 10 Cr.		15
3	More than 10 Cr.		20
B	Experience of establishing and O&M of MSW Processing Plant Or Bioremediation Facilities plants (any technology) with any of the Government / Local bodies / (i.e. Municipal Corporation / Local Bodies) or PSU's. (Aggregate of current running project) within last 5 years (Average for minimum 1 continuous year period)	Satisfactory Performance certificate duly signed by officer not below the Rank of Executive Engineer along with Work Order/ Contract Copy (Attached experience letter mentioned Project start date, end date with the amount of work done i.e., Quantity of waste disposed in MT and SWM plant capacity in TPD, etc.)	20 Marks
1	upto 100 TPD Or upto 36500 Metric Tons		15
2	Above 100 TPD Or above 36500 Metric Tons		20
C	Experience in sale of byproducts (RDF or Compost) generated from Municipal Solid Waste processing projects in last 3 financial year. Bidder shall submit either client certificate or statutory auditors certificate confirming the quantity sold in last three financial years	Client certificate or statutory auditors certificate along with Work Order/ Contract copy with Delivery challan or Purchase order clearly mentioning the amount of RDF supplied in MT / Ton by the cement plant or Energy plant.	20 Marks
1	minimum 7,500 tons in last 3 years		10
2	minimum 14,000 tons in last 3 years		15
3	minimum 21,000 tons in last 3 years		20
D	Bidder experience in Municipal Solid Waste Processing in India		5 Marks
1	Minimum 2 Years and Above		2.5 Marks
2	More than 2-3 Years		4 Marks
3	More than 5 Years		5 marks

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E	Number of Project completed in the past as sole entity or as a lead partner (>50% share in JV/Consortium) in Municipal Solid Waste Processing in India	Self- Certification by the bidder with Challan	5 Marks		
	[Each project upto 100 TPD MSW processing facility OR upto 36500 Metric Tons Scientific Dumpsite Reclamation/ Bioremediation of Dumpsite in last 5 years]				
	1			Minimum 2-3 Years	2
	2			3-5 Projects & above	4
3	Above 5 Projects	5			
F	Detailed Proposed Methodology by the Bidder for the Execution of the Project to be presented before TEC (Presentation)	Approach and Methodology with elaborate plan on each factor. The bidders need to Present through Presentation to the Mission Director/ ULB's/ NPP etc. about the project undertaken along with Video showing the plant in operational mode. The detail presentation includes, Plant, Machinery, Staffing, Vehicle, Safeguarding Environmental measures etc. as mentioned in SBM 1.0 & 2.0 manual.	30 Marks		
	The EOI should have the following components (not exhaustive):				
	1		Technical profile of the Company	5	
	2		Understanding the Scope of Work	5	
	3		Proposed methodology of bidder for undertaking the assignment	5	
			a) Work Plan	1	
			b) Manning Schedule	1	
			c) Understanding of TOR	1	
			d) DPR in brief	1	
			e) Plant architecture and design details (proposed), including equipment specification	1	
	4		Innovative plant machineries and technology (Novel approach)	5	
	5		Monitoring and Execution plan	5	
	6		Market development plan for RDF/Plastic/other recycling products and process inerts including sale of recyclables	5	
			<i>The price bids of only those bidders who qualify technically (above 70 marks) will be considered for empaneled.</i>	Total Marks- 100	

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101-200 TPD (Category- 2)

Sr No.	Specific experience of the bidder firm	Document Proof to be Furnished	Marks Allotted
A	Average Annual Turnover of last 3 consecutive years i.e., 2019-20, 2020-21, 2021-22 & 2022-23 (As per the bank / CA statement)	Average Annual Turnover statement certified from CA. and Balance Sheet	20 Marks
1	7.2 Cr. to 10 Cr.		10
2	More than 10 Cr. To 15 Cr.		15
3	More than 15 Cr.		20
B	Experience of establishing and O&M of MSW Processing Plant Or Bioremediation Facilities plants (any technology) with any of the Government / Local bodies / (i.e. Municipal Corporation / Local Bodies) or PSU's. (Aggregate of current running project) within last 5 years (Average for minimum 1 continuous year period)	Satisfactory Performance certificate duly signed by officer not below the Rank of Executive Engineer along with Work Order/ Contract Copy (Attached experience letter mentioned Project start date, end date with the amount of work done i.e., Quantity of waste disposed in MT and SWM plant capacity in TPD, etc.)	20 Marks
1	101 - 200 TPD Or 37000 – 73000 Metric Tons		15
2	Above 200 TPD Or above 73000 Metric Tons		20
C	Experience in sale of byproducts (RDF or Compost) generated from Municipal Solid Waste processing projects in last 3 financial year. Bidder shall submit either client certificate or statutory auditors certificate confirming the quantity sold in last three financial years	Client certificate or statutory auditors certificate along with Work Order/ Contract copy with Delivery challan or Purchase order clearly mentioning the amount of RDF supplied in MT / Ton by the cement plant or Energy plant.	20 Marks
1	minimum 14,000 tons in last 3 years		10

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2	minimum 21,000 tons in last 3 years		15
3	minimum 27,000 tons in last 3 years		20
D	Bidder experience in Municipal Solid Waste Processing in India		5 Marks
1	Minimum 2 Years and Above		2.5 Marks
2	More than 2-3 Years		4 Marks
3	More than 5 Years		5 marks
E	Number of Project completed in the past as sole entity or as a lead partner (>50% share in JV/Consortium) in Municipal Solid Waste Processing in India [Each project should have a minimum capacity of 101-200 TPD MSW processing facility OR 37000 to 73000 Metric Ton Scientific Dumpsite Reclamation/ Bioremediation of Dumpsite in last 5 years]	Self- Certification by the bidder with Challan	5 Marks
1	Minimum 2-3 Years		2
2	3-5 Projects & above		4
3	Above 5 Projects		5
F	Detailed Proposed Methodology by the Bidder for the Execution of the Project to be presented before TEC (Presentation)	Approach and Methodology with elaborate plan on each factor. The bidders need to Present through Presentation to the Mission Director/ ULB's/ NPP etc. about the project undertaken along with Video showing the plant in operational mode. The detail presentation includes, Plant, Machinery, Staffing, Vehicle, Safeguarding Environmental measures etc. as mentioned in SBM 1.0 & 2.0 manual.	30 Marks
	The EOI should have the following components (not exhaustive):		
1	Technical profile of the Company		5
2	Understanding the Scope of Work		5
3	Proposed methodology of bidder for undertaking the assignment		5
	a) Work Plan		1
	b) Manning Schedule		1
	c) Understanding of TOR		1
	d) DPR in brief		1
	e) Plant architecture and design details (proposed), including equipment specification		1
4	Innovative plant machineries and technology (Novel approach)	5	
5	Monitoring and Execution plan	5	
6	Market development plan for RDF/Plastic/other recycling	5	

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	products and process inerts including sale of recyclables		
	<i>The price bids of only those bidders who qualify technically (above 70 marks) will be considered for empaneled.</i>		Total Marks- 100

201-300 TPD (Category- 3)

Sr No.	Specific experience of the bidder firm	Document Proof to be Furnished	Marks Allotted
A	Average Annual Turnover of last 3 consecutive years i.e., 2019-20, 2020-21, 2021-22 & 2022-23 (As per the bank / CA statement)	Average Annual Turnover statement certified from CA. and Balance Sheet	20 Marks
1	12 Cr. to 15 Cr.		10
2	More than 15 Cr. To 20 Cr.		15
3	More than 20 Cr.		20
B	Experience of establishing and O&M of MSW Processing Plant Or Bioremediation Facilities plants (any technology) with any of the Government / Local bodies / (i.e. Municipal Corporation / Local Bodies) or PSU's. (Aggregate of current running project) within last 5 years (Average for minimum 1 continuous year period)	Satisfactory Performance certificate duly signed by officer not below the Rank of Executive Engineer along with Work Order/ Contract Copy (Attached experience letter mentioned Project start date, end date with the amount of work done i.e., Quantity of waste disposed in MT and SWM plant capacity in TPD, etc.)	20 Marks
1	201 - 300 TPD Or 74000 – 110000 Metric Tons		15
2	Above 300 TPD Or above 110000 Metric Tons		20
C	Experience in sale of byproducts (RDF or Compost) generated from Municipal Solid Waste processing projects in last 3 financial year. Bidder shall	Client certificate or statutory auditors certificate along with Work Order/ Contract copy with Delivery challan or	20 Marks

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	submit either client certificate or statutory auditors certificate confirming the quantity sold in last three financial years	Purchase order clearly mentioning the amount of RDF supplied in MT / Ton by the cement plant or Energy plant.		
1	minimum 22,000 tons in last 3 years		10	
2	minimum 29,000 tons in last 3 years		15	
3	minimum 36,000 tons in last 3 years		20	
D	Bidder experience in Municipal Solid Waste Processing in India		5 Marks	
1	Minimum 2 Years and Above		2.5 Marks	
2	More than 2-3 Years		4 Marks	
3	More than 5 Years		5 marks	
E	Number of Project completed in the past as sole entity or as a lead partner (>50% share in JV/Consortium) in Municipal Solid Waste Processing in India [Each project should have a minimum capacity of 201-300 TPD MSW processing facility OR 74000 to 110000 Metric Ton Scientific Dumpsite Reclamation/ Bioremediation of Dumpsite in last 5 years]	Self- Certification by the bidder with Challan	5 Marks	
1	Minimum 2-3 Years			2
2	3-5 Projects & above			4
3	Above 5 Projects			5
F	Detailed Proposed Methodology by the Bidder for the Execution of the Project to be presented before TEC (Presentation)	Approach and Methodology with elaborate plan on each factor. The bidders need to Present through Presentation to the Mission Director/ ULB's/ NPP etc. about the project undertaken along with Video showing the plant in operational mode. The detail presentation	30 Marks	
	The EOI should have the following components (not exhaustive):			
1	Technical profile of the Company			5
2	Understanding the Scope of Work			5
3	Proposed methodology of bidder for undertaking the assignment			5
	a) Work Plan			1
	b) Manning Schedule			1
	c) Understanding of TOR			1
	d) DPR in brief	1		

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	e) Plant architecture and design details (proposed), including equipment specification	includes, Plant, Machinery, Staffing, Vehicle, Safeguarding	1
4	Innovative plant machineries and technology (Novel approach)	Environmental measures etc. as mentioned in SBM 1.0 & 2.0 manual.	5
5	Monitoring and Execution plan		5
6	Market development plan for RDF/Plastic/other recycling products and process inerts including sale of recyclables		5
	<i>The price bids of only those bidders who qualify technically (above 70 marks) will be considered for empaneled.</i>		Total Marks- 100

301-500 TPD (Category- 4)

Sr No.	Specific experience of the bidder firm	Document Proof to be Furnished	Marks Allotted
A	Average Annual Turnover of last 3 consecutive years i.e., 2019-20, 2020-21, 2021-22 & 2022-23 (As per the bank / CA statement)	Average Annual Turnover statement certified from CA. and Balance Sheet	20 Marks
1	18 Cr. to 20 Cr.		10
2	More than 20 Cr. To 25 Cr.		15
3	More than 25 Cr.		20
B	Experience of establishing and O&M of MSW Processing Plant Or Bioremediation Facilities plants (any technology) with any of the Government / Local bodies / (i.e. Municipal Corporation / Local Bodies) or PSU's. (Aggregate of current running project) within last 5 years (Average for minimum 1 continuous year period)	Satisfactory Performance certificate duly signed by officer not below the Rank of Executive Engineer along with Work Order/ Contract Copy (Attached experience letter	20 Marks
1	301 - 500 TPD Or 110000 – 182000 Metric Tons		15

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2	Above 500 TPD Or above 182000 Metric Tons	mentioned Project start date, end date with the amount of work done i.e., Quantity of waste disposed in MT and SWM plant capacity in TPD, etc.)	20
C	Experience in sale of byproducts (RDF or Compost) generated from Municipal Solid Waste processing projects in last 3 financial year. Bidder shall submit either client certificate or statutory auditors certificate confirming the quantity sold in last three financial years	Client certificate or statutory auditors certificate along with Work Order/ Contract copy with Delivery challan or Purchase order clearly mentioning the amount of RDF supplied in MT / Ton by the cement plant or Energy plant.	20 Marks
1	minimum 37,000 tons in last 3 years		10
2	minimum 44,000 tons in last 3 years		15
3	minimum 51,000 tons in last 3 years		20
D	Bidder experience in Municipal Solid Waste Processing in India		5 Marks
1	Minimum 2 Years and Above		2.5 Marks
2	More than 2-3 Years		4 Marks
3	More than 5 Years		5 marks
E	Number of Project completed in the past as sole entity or as a lead partner (>50% share in JV/Consortium) in Municipal Solid Waste Processing in India [Each project should have a minimum capacity of 201-300 TPD MSW processing facility OR 74000 to 110000 Metric Ton Scientific Dumpsite Reclamation/ Bioremediation of Dumpsite in last 5 years]	Self- Certification by the bidder with Challan	5 Marks
1	Minimum 2-3 Years		2
2	3-5 Projects & above		4
3	Above 5 Projects		5
F	Detailed Proposed Methodology by the Bidder for the Execution of the Project to be presented before TEC (Presentation)		30 Marks
	The EOI should have the following components (not exhaustive):	Approach and Methodology with elaborate plan on each	

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1	Technical profile of the Company	factor. The bidders need to Present through Presentation to the Mission Director/ ULB's/ NPP etc. about the project undertaken along with Video showing the plant in operational mode. The detail presentation includes, Plant, Machinery, Staffing, Vehicle, Safeguarding Environmental measures etc. as mentioned in SBM 1.0 & 2.0 manual.	5
2	Understanding the Scope of Work		5
3	Proposed methodology of bidder for undertaking the assignment		5
	a) Work Plan		1
	b) Manning Schedule		1
	c) Understanding of TOR		1
	d) DPR in brief		1
	e) Plant architecture and design details (proposed), including equipment specification		1
4	Innovative plant machineries and technology (Novel approach)		5
5	Monitoring and Execution plan		5
6	Market development plan for RDF/Plastic/other recycling products and process inerts including sale of recyclables	5	
	<i>The price bids of only those bidders who qualify technically (above 70 marks) will be considered for empaneled.</i>		Total Marks- 100

5 INSTRUCTION TO BIDDERS:

5.1 Completeness of Response

- a) Bidders are advised to study all instructions, forms, terms, requirements, and other information in the bid documents carefully. Submission of bid will be deemed to have been done after careful study and examination of the EOI document with full understanding of its implications.
- b) The response to this EOI should be full and complete in all respects. Failure to furnish all information required by the EOI documents or submission of a proposal not substantially responsive to the EOI documents in every respect will be at the Bidder's risk and may result in rejection of its Proposal.
- c) The bidder must comply with all the terms and conditions given in this document and their offer must be unconditional

5.2 EOI Preparation Costs

- a) The bidder is responsible for all costs incurred in connection with participation in this process, including, but not limited to, costs incurred in conduct of informative and other diligence activities, participation in meetings/discussions/presentations, preparation of EOI, in providing any additional information required by the Authority to facilitate the evaluation process, and in negotiating a definitive Contract or all such activities related to the bid process. The Authority will in no case be responsible or liable for those costs, regardless of the conduct or outcome of the bidding process.

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- b) This EOI does not commit the authority to award a contract or to engage in negotiations.
- c) Further, no reimbursable cost may be incurred in anticipation of award or for preparing this bid.
- d) All materials submitted by the bidder as a part of the bid will become the property of the Concerned ULB.

5.3 Clarification and Amendment of EoI document:

- a) At any time prior to the last date for receipt of bids, the Authority may, for any reason, whether at its own initiative or in response to a clarification requested by a prospective Bidder, modify the bid Document by an amendment.
- b) The amendment will be notified and uploaded on the website of the Authority, or the website mentioned above for the information of all intending bidders.
- c) At any time before the submission of EOI, the Employer may amend the EoI by issuing an addendum by standard electronic means. The addendum shall be sent to all Bidders as per stipulated timeframe mentioned in the Data Sheet and will be binding on them. Bidders shall acknowledge receipt of all amendments. To give Bidders reasonable time in which to take an amendment into account in their EOI the Employer may, if the amendment is substantial, extend the deadline for the submission of EOI.
- d) In order to afford prospective Bidders reasonable time in which to take the amendment into account in preparing their bids, the Authority, at its discretion, extend the last date for the receipt of Bids.
- e) Depending on the nature of the Assignment/ job, Bidders are required to submit a Technical Proposal (TP) in forms provided in the EoI. Submission of non-responsive Technical Proposal will result in the Proposal being deemed ineligible. Form Tech – I is a sample letter of technical proposal which is to be submitted along with the technical proposal.
- f) The Technical Proposal shall not include any financial information. A Technical Proposal containing financial information may be declared as non-responsive.

6 APPLICATION PROCESS

The EoI document shall be available on the e-procure Tendering website <https://etender.up.nic.in> and may be downloaded by the interested Applicants. Interested Applicants are invited to submit their application in accordance with the terms specified in this Document.

7 BID PROCESSING FEES

The Bid Processing Fee is Non-Refundable. The Cost of EOI Document would be pay Rs 5000/- (Indian Rupees Five Thousand Only) to be paid through RTGS/NEFT in the following account details:

Bank Name: Punjab National Bank
Branch Name: Gomti Nagar Branch, Lucknow
Account Name: State Mission Director
Account No.: 4483000100033545
IFSC: PUNB0448300

Please note that the EOI, which does not include the bid processing fees, would be rejected as non-responsive.

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8 VALIDITY OF EOI

The EoI shall be valid for a period of not less than 180 days from the EoI Due Date. ULB Lucknow reserves the right to reject any EoI which does not meet the requirement.

9 DATA SHEET

S. No.	Particulars	Details
1.	Name of the Employer:	State Mission Director, SBM
2.	Name of the Assignment/job:	Selection and Empanelment of agencies for Solid waste processing facilities in Urban Local Bodies of Uttar Pradesh.
3.	Last Date & time and address for submission of EOI/ bid:	08/08/2023 up to 5:00 PM (Online Submission) https://etender.up.nic.in
4.	The Employer's representative is: Address:	State Mission Director SBM Mission Directorate, Gomti Nagar Extension Lucknow – 226002 E-mail: sbmdlup@gmail.com
5.	EOI must remain valid days after the submission date, i.e., until:	180 days
6.	Bidders may send in their queries till Date:	25/07/2023 till 05:00 PM
7.	Pre-Bid Meeting Date:	26/07/2023 at 12:00 PM Venue: Revti Hall, 2nd Floor, SBM Mission Directorate, Gomti Nagar Extension Lucknow – 226002
8.	Contact	+91-8189077787
	Email:	sbmdlup@gmail.com

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9.	Method of Selection	<p>Technical Evaluation</p> <p>Stage 1a: Pre-Qualification:</p> <p>a) Bidders who qualify in the essential Eligibility Criteria will be considered for Technical Evaluation in Stage1b</p> <p>Stage 1b: Technical Qualification:</p> <p>Bidders who qualify the following will be empaneled in the respective categories:</p> <p>a) Eligibility as per EOI requirement.</p> <p>b) Test of Responsiveness complete (complete document submission).</p> <p>c) Minimum score of 70% marks in the technical evaluation</p>
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Annexure 1: Bid Form

(To be submitted on the Letterhead of the responding agency)

To,
State Mission Director
SBM Mission Directorate,
Gomti Nagar Extension
Lucknow – 226002

Reference: EOI Notification no _____ Dated _____

Subject: Submission of proposal in response to the EOI for Selection and Empanelment of agencies for Solid waste processing facilities in Urban Local Bodies of Uttar Pradesh

Dear Sir,

Having examined the EOI document, we, the undersigned, herewith submit our proposal in response to your EOI Notification no <xxxx> dated <<>> for EOI Empanelment of agencies for EOI for Selection and Empanelment of agencies for Solid waste processing facilities in Urban Local Bodies of Uttar Pradesh. In full conformity with the said EOI document.

- i. We have read the provisions of the EOI document and confirm that these are acceptable to us. We further declare that additional conditions, variations, deviations, if any, found in our EOI shall not be acceptable.
- ii. We agree to abide by this EOI, consisting of this letter, the detailed response to the EOI and all attachments, for a period of 180 days from the closing date fixed for submission of EOI as stipulated in the EOI document.
- iii. We hereby declare that we are not involved in any major litigation that may have an impact of affecting or compromising the delivery of services as required under this assignment and we are not under a declaration of ineligibility for corrupt or fraudulent practices.
- iv. We hereby declare that we are not insolvent, in receivership, bankrupt or being wound up, our affairs are not being administered by a court or a judicial officer, our business activities have not been suspended and we are not the subject of legal proceedings for any of the foregoing.
- v. We undertake that, in competing for (and, if the award is made to us, in executing) the above contract, we will strictly observe the laws against fraud and corruption in force in India namely "Prevention of Corruption Act 1988".
- vi. We understand that the Purchaser is not bound to accept any bid which the Purchaser may receive.

Place:

Date

Bidder's Company Seal:

Authorized Signatory's Signature:

Authorized Signatory's Name and Designation:

Note: The Bidder shall necessarily provide a copy of 'Power of Attorney / Letter of Authorization authorizing the signatory for signing the Bid on behalf of the Bidder.

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Annexure 2: Particulars of the Bidder

S.NO.	INFORMATION SOUGHT	DETAILS TO BE FURNISHED
1.	Name and Registered address of the bidding Company. Specify Telephone Number, Fax Number, Website address of the bidding Company	
2.	Incorporation status of the firm (public limited /private limited/partnership, etc.)	
3.	Year of Establishment	
4.	Date of registration	
5.	ROC Reference No.	
6.	Details of company registration	
7.	Details of registration with appropriate authorities for service tax, income tax, sales tax / VAT	
8.	Key Person (s) details at Head Office / Registered Office. Specify Name, Designation, Address, Email, Phone nos. and Mobile Number	
9.	Name, Designation, Address, Email, Phone nos. and Mobile Number of Authorized Person for this empanelment	
10.	Classification i.e., Machines specification with estimated price, please specify	
11.	Number of years' experience in setting up of Solid waste processing plant	
12.	Turnover from sale of <<quoted products >>in last 3 years	

As of this date the information furnished in all parts of this form is accurate and true to the best of my knowledge.

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Annexure 3: Technical Proposal – Standard Forms

3.1 FORM TECH-1

LETTER OF EOI SUBMISSION

[Location, Date]

To,

[Name and address of Employer]

Dear Sir,

We, the undersigned, offer to provide the job for Empanelment of agencies for ***Selection and Empanelment of agencies for Solid waste processing facilities in Urban Local Bodies of Uttar Pradesh*** through PPP mode in Concerned ULB accordance with your EOI dated *[Insert Date]* and our Proposal. We are hereby submitting our Proposal, which includes this Technical Proposal with requisite EoI processing fees.

We hereby declare that all the information and statements made in this EOI are true and accept that any misinterpretation contained in it may lead to our disqualification.

If negotiations are held during the period of validity of the EOI, we undertake to negotiate on the basis of the proposed staff. Our Proposal is binding upon us and subject to the modifications resulting from Contract negotiations.

We understand you are not bound to accept any Proposal you receive.

Yours sincerely,

Authorized Signatory *[In full and initials]*

Name and Title of Signatory:

Name of Firm:

Address:

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FORM TECH-2

Form 2: BIDDER'S ORGANIZATION AND EXPERIENCE

Form 2A: Format for Details of Bidder

1. Details of Bidder

Name of bidder with full address	
Tel. No.	
Fax No.	
Email	
Year of Incorporation.	
Name and address of the person holding the Power of Attorney.	
(i) Place of Business.	
(ii) Date of Registration.	
Name of Bankers with full address.	
GSTN Registration Number (copy).	
Permanent Account Number (copy).	
Are you presently debarred / Blacklisted by any Government Department /Public Sector Undertaking /Any Employer? (If Yes, please furnished details)	
Name and details (Tel / Mobile / E mail) of contact persons	

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Form 2B: Format for Financial Capability of the Bidder

(Equivalent in Rs. crores)

Bidder*	_____ (Name of Bidder)				
FY	2020-21	2021-22	2022-23	Total	Average
Annual Turnover					
Net Worth					

Certificate from the Statutory Auditor

This is to certify that _____ (Name of the Bidder) has annual turnover as shown above against the respective years.

Name of the audit firm:

Seal of the audit firm:

Date:

(Signature, name and designation of the authorized signatory)

The Bidder should provide the Financial Capability based on its own financial statements. Financial Capability of the Bidder's parent company or its subsidiary or associate company will be considered for computation of the Financial Capability of the Bidder.

*** Bidder should fill in details as per the row titled Annual turnover in the row below.**

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Form 2C: Engagement Experience

List projects in the last five years which are similar to that required in the EOI.

Assignment name:	Value of the contract (in current INR):
Country:	Duration of assignment (months):
Name of Employer:	Total waste processing capacity in TPD (Separate for Wet and Dry waste)
Address:	
Start date (month/year):	
Completion date (month/year):	
Narrative description of Project (scope details):	

(In addition to above format, scan copies of completion certificate/certification of work undertaken to be also included for each of the project)

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FORM TECH-3

Letter for Non-Blacklisting

[Location, Date]

To,

[Name and address of Employer]

Subject: Letter of Declaration for not have been Blacklisted

We, *[Name of Firm]* or our Associate Companies or our Group Companies have not been blacklisted/ debarred/ termination of contract except for reasons of convenience of employer by any Government/ Government board/ Corporation/ Company/ Statutory Body/ PSU Company/ Non-Government/ Government of any sovereign countries/ Private agencies and Funding Agencies in the last 5 years.

For *[Name of Firm]*,

Authorized Signatory [In full and initials] Name and Title of Signatory:

Name of Firm:

Address:

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FORM TECH-4

Power of Attorney for signing of Application

Know all men by these presents, We (name of the firm and address of the registered office) do hereby irrevocably constitute, nominate, appoint and authorize Mr./ Ms. (name), son/daughter/wife ofand presently residing at, who is presently employed with us and holding the position of , as our true and lawful attorney (hereinafter referred to as the “Attorney”) to do in our name and on our behalf, all such acts, deeds and things as are necessary or required in connection with or incidental to submission of our application for pre-qualification and submission of our bid for the EXPRESSION OF INTEREST for Empanelment of agencies for EOI for Selection and Empanelment of agencies for Solid waste processing facilities in Urban Local Bodies of Uttar Pradesh in Concerned ULB. Project proposed or being developed by (the “Authority”) including but not limited to signing and submission of all applications, bids and other documents and writings, participate in Pre-Applications and other conferences and providing information/ responses to the Authority, representing us in all matters before the Authority, signing and execution of all contracts including the Concession Agreement and undertakings consequent to acceptance of our bid, and generally dealing with the Authority in all matters in connection with or relating to or arising out of our bid for the said Project and/ or upon award thereof to us and/or till the entering into of the Concession Agreement with the Authority.

AND

we hereby agree to ratify and confirm and do hereby ratify and confirm all acts, deeds and things done or caused to be done by our said Attorney pursuant to and in exercise of the powers conferred by this Power of Attorney and that all acts, deeds and things done by our said Attorney in exercise of the powers hereby conferred shall and shall always be deemed to have been done by us.

IN WITNESS WHEREOF WE,, THE ABOVE-NAMED PRINCIPAL HAVE EXECUTED THIS POWER OF ATTORNEY ON THIS DAY OF 2023

Witnesses:

- 1.
- 2.

(Notarized)

.....

(Signature)

(Name, Title, and Address of the Attorney)

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Notes:

- The mode of execution of the Power of Attorney should be in accordance with the procedure, if any, laid down by the applicable law and the charter documents of the executant(s) and when it is so required, the same should be under common seal affixed in accordance with the required procedure.
- Wherever required, the Applicant should submit for verification the extract of the charter documents and documents such as a board or shareholders' resolution/ power of attorney in favor of the person executing this Power of Attorney for the delegation of power hereunder on behalf of the Applicant.
- For a Power of Attorney executed and issued overseas, the document will also have to be legalized by the Indian Embassy and notarized in the jurisdiction where the Power of Attorney is being issued. However, the Power of Attorney provided by Applicants from countries that have signed the Hague Legislation Convention, 1961 are not required to be legalized by the Indian Embassy if it carries a conforming Apostille certificate.