

# COAL INDIA LIMITED MARKETING DIVISION

File: CIL/M&S//83

Date: 01.06.2020

### **NOTICE**

Subject: Review of documents required by bidders in different e-auctions & SHAKTI/NRS linkage auction schemes.

#### Ref:

- a) Spot/Special Spot e-auction Scheme/notice, b) Special Forward e-auction Scheme/notice,
   c) Exclusive e-auction Scheme/notice
- 2. NRS Linkage auction scheme/FSA of different subsectors
- 3. SHAKTI B(ii) Linkage auction scheme/FSA
- 4. SHAKTI B(iii) Linkage auction scheme/FSA
- 5. SHAKTI B(viii a) Linkage auction scheme/FSA

The documentations required to be provided by the bidders/successful bidders under the above mentioned schemes/FSAs has been reviewed by CIL management in its 227<sup>th</sup> FDs meeting held on 07.05.2020. The comparative list of existing requirement of documents vis a vis the documents which will be required & not be required are enclosed herewith for information to all concerned. This would be applicable for all e-auctions/linkage auctions held after date of issuance of this notice.

The relevant provisions in the scheme/FSAs, as applicable, shall stand amended accordingly.

Encl: As above

General Manager(M&S)/QC

#### Distribution:

- 1. GM/ HoD (M&S), ECL/ BCCL/ CCL/ NCL/ WCL/ SECL/ MCL: For uploading in respective website
- 2. GM, NEC: For uploading in respective website
- 3. GM (System), CIL- with request to get this uploaded on CIL website
- 4. MSTC Limited/MJunction Limited, Kolkata: for uploading in respective portal

#### Copy for kind information to:

1. Director (Marketing), CIL, Kolkata

## Documents required for e-auction schemes

1. Spot/Special Spot e-Auction Scheme

A. Registration  Existing Required Documents		Revised required documents	
Application for registration and participation in prescribed format		Application for registration and participation in prescribed format	
Income Tax return (latest)		Not required.  TDS at 1% can be deducted and Form 16 can be provided by coal companies.  Bidders can later claim return while filing IT return as applicable	
PAN Number	Ø	PAN Number	
GSTIN Certificate	☑	GSTIN Certificate	
SSI Registration (if applicable)	$\boxtimes$	Not required for this e-auction scheme as	
Trade/Factory License (if applicable)		it is open for all Indian citizens	
Passport size photograph	Ø	Passport size photograph	

B. Participation in auction	
EMD in Cash or in BG	

C. Lifting of coal		
Deposition of coal value & taxes along with relevant debit advice issued by the bank	☑	Deposition of coal value & taxes along with relevant debit advice issued by the bank
Authorization document from consumer/bidder for lifting in case of road mode	Ø	Authorization document from consumer/bidder for lifting in case of road mode

2. Special Forward e-Auction Scheme for Power Producers

A. Registration Existing Required Documents		Revised required documents
Application for registration and participation in prescribed format	M	Check if application has document verification clause.
A declaration on stamp paper before a 1st Class/Executive Magistrate/Notary Public certifying coal purchased will be for own consumption and generation of power only and would not be resold, transferred or exported.	M	A declaration on stamp paper before a 1st Class/Executive Magistrate/Notary Public certifying coal purchased will be for own consumption and generation of power only and would not be resold, transferred or exported.
Status of commissioning under the affidavit with Name of Plant, No of Units, capacity as per prescribed format. Declaration that if details are found false they will be debarred.	Ø	Status of commissioning under the affidavit with Name of Plant, No of Units, capacity as per prescribed format. Declaration that if details are found false they will be debarred.
Certificate of incorporation issued by the registrar of companies (ROC)	Ø	Certificate of incorporation issued by the registrar of companies (ROC)
Latest Income-tax return		Not required. TDS at 1% can be deducted and Form 16 can be provided by coal companies. Bidders can later claim return while filing IT return as applicable
PAN Number	Ø	PAN Number
GSTIN Certificate	Ø	GSTIN Certificate
A board resolution authorizing one representative of the power plants to sign on behalf of the company with attested passport size photographs of the authorized Officials	Ø	A board resolution authorizing one representative of the power plants to sign on behalf of the company with attested passport size photographs of the authorized Officials
Valid pollution certificate or application copy for pollution certificate	⊠	Not Required
Passport size photograph	Ø	Passport size photograph

B. Participation in auction		
EMD in Cash or in BG	Ø	EMD in Cash or in BG
Valid pollution certificate or NOC from concerned authority if application copy is given while registration	Ø	Valid pollution certificate or NOC from concerned authority if application copy is given while registration

C. Lifting of coal		
Deposition of coal value & taxes against monthly distributed quantity along with relevant debit advice issued by the bank		Deposition of coal value & taxes against monthly distributed quantity along with relevant debit advice issued by the bank
Power generation certificate stating utilization of SFEA coal from DISCOM/Power exchange/PTC	Ø	Power generation certificate stating utilization of SFEA coal from DISCOM/Power exchange/PTC(*)
Authorization document from consumer/bidder for lifting in case of road mode	Ø	Authorization document from consumer/bidder for lifting in case of road mode

3. Exclusive e-Auction Scheme for Non-Power (including CPP)

A. Registration Existing Required Documents		Revised required documents
Application for registration and participation in prescribed format	M	Application for registration and participation in prescribed format
Income Tax return (latest)	⊠	Not required. TDS at 1% can be deducted and Form 16 can be provided by coal companies. Bidders can later claim return while filing IT return as applicable
PAN Number	Ø	PAN Number
GSTIN Certificate	Ø	GSTIN Certificate
SSI /Industrial Registration	Ø	SSI /Industrial Registration
Linkage letter issued by MoC or valid letter of recommendation issued by Central/State Ministry/DIC certifying existence and end-use of coal in the unit	Ø	Linkage letter issued by MoC or valid letter of recommendation issued by Central/State Ministry/DIC certifying existence and end-use of coal in the unit
Duly certified accounts by practicing Chartered Accountant	⊠	Not required.
Valid pollution certificate or application copy for pollution certificate	×	Not required.
Proof of ownership of land/lease hold for the unit from the concerned authority	×	Not required.
Actual or chartered engineer certified copy of GST/Sales Tax or during last 2 years.	×	Not required.
Copies of electricity bills for the last six months , wherever applicable	⊠	Not required.
Sworn-in-Affidavit on stamp paper of minimum Rs 10(ten) value before any Magistrate certifying own consumption of coal purchased and not to be resold, transferred or exported	M	Can be replaced with notarized document
Proof of existence of business entity like registered partnership deed / certificate of incorporation issued by the registrar of companies of the concerned state, wherever applicable		Proof of existence of business entity like registere partnership deed / certificate of incorporation issued by the registrar of companies of the concerned state, wherever applicable
Passport size photograph		Passport size photograph

B. Participation in auction		
EMD in Cash or in BG	Ø	EMD in Cash or in BG
Valid pollution certificate or NOC from concerned authority if application copy is given while registration	Ø	Can be provided during lifting

C. Lifting of coal Existing Required Documents		Revised Required Document
Deposition of coal value & taxes against monthly distributed quantity along with relevant debit advice issued by the bank		Deposition of coal value & taxes against monthly distributed quantity along with relevant debit advice issued by the bank
Authorization document from consumer/bidder for lifting in case of road mode	Ø	Authorization document from consumer/bidder for lifting in case of road mode
	Ø	Valid pollution certificate or NOC from concerned authority, if applicable for plants

4. Linkage auction for NRS

A. Registration Existing Required Documents		Revised required documents
Self-attested copy of PAN	M	Self-attested copy of PAN
Self-attested copy of GSTIN	Ø	Self-attested copy of GSTIN
A non-refundable registration fee of Rs 10,000/- plus applicable service tax	Ø	A non-refundable registration fee of Rs 10,000/- plus applicable service tax

B. Participation in auction		
RFP information 8	k EMI	) in MSTC platform
Details of Specified End Use Plant and existing linkage	Ø	Details of Specified End Use Plant and existing linkage
Payment towards Bid Security and Process Fee (EMD) @ Rs. 100 + process fee of Rs. 2.10 /ton	Ø	Payment towards Bid Security and Process Fee (EMD) @ Rs. 100 + process fee of Rs. 2.10 /ton
Uploading scanned	copi	es in MSTC platform
An undertaking by the bidder in the prescribed format stating to comply with all Applicable Laws including environmental laws and existing linkage details		An undertaking by the bidder in the prescribed format stating to comply with all Applicable Laws including environmental laws and existing linkage details
A power of attorney in the prescribed format along with a certified true copy of the relevant authorizations	Ø	A power of attorney in the prescribed format along with a certified true copy of the relevant authorizations
An affidavit in the prescribed format certifying to meet all the Eligibility Conditions under scheme	V	An affidavit in the prescribed format certifying to meet all the Eligibility Conditions under scheme
Physical copies of above documents to MSTC	Ø	Physical copies of above documents to MSTC

Execution of FSA		Revised
Existing		
	(Man	datory)
Notarised Power of Attorney (PoA).	V	Notarised Power of Attorney (PoA).
Certified true copy of Board Resolution/ Shareholders Resolution etc	Ø	Certified true copy of Board Resolution/ Shareholders Resolution etc
Commissioning certificate of EUP from a certified chartered engineer.	Ø	Commissioning certificate of EUP from a certified chartered engineer.
Self-attested copy of valid Factory License of EUP or copy of application filed for renewal of the same in case of expired.	☑	Self-attested copy of valid Factory License of EUP or copy of application filed for renewal of the same in case of expired.
Self-attested copy of CTO of EUP issued under the relevant pollution control laws or copy of application filed for renewal	Ø	Self-attested copy of CTO of EUP issued under the relevant pollution control laws or copy of application filed for renewal
Copy of the Boiler Fitness Certificate	Ø	Copy of the Boiler Fitness Certificate
Self-attested copy of GSTIN and PAN	Ø	Self-attested copy of GSTIN and PAN
Valid SSI/industrial registration certificate	Ø	Valid SSI/industrial registration certificate
Documentation with respect to existing coal linkages, assurance of linkages and/ or allocation of mine		Documentation with respect to existing coal linkages, assurance of linkages and/ or allocation of mine
Coal Consumption certificate of the Specified End Use Plant	Ø	Can be provided after lifting period
Audited accounts of the Successful Bidder of 3 FY		Self-certified copies can be provided instead.
Certificate- Plant is currently under Commercial operation		Certificate- Plant is currently under Commercial operation from CE/CA
Part B(Optional - Coal co. may ask)		No optional document is required
Income-tax return latest		Not required.  TDS at 1% can be deducted and Form 16 can be provided by coal companies.  Bidders can later claim return while filing IT return as applicable
Copy of GST/Tax paid by the bidder certified by a practicing Chartered Accountant or a self-certified statement		To be reviewed.
Copies of licenses to operate including production licence, constitution status, SSI Registration, factory license, excise registration and other statutory registration and/ or documents		Not required
Copy of current valid pollution control certificates (including consent to establish and consent to operate);		Not required
Details of critical machinery/ equipment		Not required.

Copies of electricity bills for the last six months		Not required.
Any other documents	$\boxtimes$	Not Required
Lifting of coal		
Notarised Power of Attorney.	Ø	Notarised Power of Attorney.
Certified true copy of Board Resolution or Certified true copy of Shareholders Resolution etc.		
Commissioning certificate of the EUP from a certified chartered engineer	$\boxtimes$	Documents already submitted in earlier
Self-attested copy of valid Factory License of the EUP		stages need not be submitted again, if they have validity clause
Self-attested copy of Consent to Operate of the EUP		
Self-attested copy of GSTIN and PAN		
Performance security	$\square$	Performance security
Payment of coal value	Ø	Payment of coal value
Authorization document from consumer/bidder for lifting in case of road mode	Ø	Authorization document from consumer/bidder for lifting in case of road mode

5. SHAKTI B(ii) auction

A. Registration Existing Required Documents		Revised required documents
Self-attested copy of PAN	Ø	Self-attested copy of PAN
Self-attested copy of GSTIN	Ø	Self-attested copy of GSTIN

Submission of EOI along with DISCOM Certificate and supporting documents	Ø	Submission of EOI along with DISCOM Certificate and supporting documents
Power of Attorney & Board Resolution	Ø	Power of Attorney & Board Resolution
Affidavit	্ত	Affidavit
Undertaking	Ø	Undertaking
Bid Security @ Rs 100 per tonne	Ø	Bid Security @ Rs 100 per tonne
Process Fee @ Rs 11.80 per tonne	Ø	Process Fee @ Rs 11.80 per tonne

C. Execution of FSA		<b>发展的大型的现在分词形式的大型的大型的大型的大型的</b>
Notarised Power of Attorney (PoA) & Certified true copy of Board Resolution or Certified true copy of Shareholders Resolution etc.	☒	Notarised Power of Attorney (PoA) & Certified true copy of Board Resolution or Certified true copy of Shareholders Resolution etc.
Self-attested copy of valid Factory License*	Ø	Self-attested copy of valid Factory License*
Self-attested copy of Consent to Operate.  Alternatively, a valid no-objection certificate from the relevant State Pollution Control Board*	<b>Ø</b>	Self-attested copy of Consent to Operate. Alternatively, a valid no-objection certificate from the relevant State Pollution Control Board*
Self-attested copy of GSTIN and PAN number of the Successful Bidder.	Ø	Self-attested copy of GSTIN and PAN number of the Successful Bidder.
Certificate of Incorporation/ Commencement of Business Certificate.	Ø	Certificate of Incorporation/ Commencement of Business Certificate.
In-principle water allocation from state water supply authority.*	Ø	In-principle water allocation from state water supply authority.*
Certificate of Date of Commercial Operation (COD) issued by CEA.*	Ø	Certificate of Date of Commercial Operation (COD issued by CEA.*
Certificate of commissioning in respect of the Specified End Use Plant.*	Ø	Certificate of commissioning in respect of the Specified End Use Plant.*
*For the Specified End Use Plant which has not a documents marked with (*), shall be provided poshall be provided forthwith upon commissioning Amended PPA and approval of regulatory commission	rior to	execution of FSA. Documents marked with (*)
An undertaking in the form of an affidavit that all applicable laws of the land are duly complied with failing which coal supply would be suspended.	☑	An undertaking in the form of an affidavit that all applicable laws of the land are duly complied with failing which coal supply would be suspended.
Documentation with respect to existing coal linkages, assurance of linkages and/or allocation of mine.	Ø	Documentation with respect to existing coal linkages, assurance of linkages and/or allocation of mine.
Any other relevant information /documentation as may be requested for by CIL/the Seller.	×	Not required

D. Lifting of coal Self-attested copy of valid Factory License or copy	V	Colf attacted and ref. 19 Factor 19
of application filed for renewal of the same, in case	N.	Self-attested copy of valid Factory License or copy of application filed for renewal of the same, in case
the Factory License has recently expired.		
		the Factory License has recently expired.
Self-attested copy of Consent to Operate or copy of	☑	Self-attested copy of Consent to Operate or copy of
application filed for renewal of the same.		application filed for renewal of the same.
Alternatively, a valid no-objection certificate from		Alternatively, a valid no-objection certificate from
the relevant State Pollution Control.		the relevant State Pollution Control.
Self-attested copy of GST registration certificate	Ø	Self-attested copy of GST registration certificate
and PAN of the Purchaser.		and PAN of the Purchaser.
Certificate of Incorporation/Commencement of	Ø	Certificate of Incorporation/Commencement of
Business Certificate of the Purchaser.		Business Certificate of the Purchaser.
Firm water allocation from state water supply	Ø	In Principle water allocation document is required
authority.		for commencement of supply. However ,firm water
		allocation from state water supply authority to be
		submitted in due time.
Certificate of Date of Commercial Operation (COD)	Ø	Certificate of Date of Commercial Operation (COD)
issued by CEA.		issued by CEA.
Certificate of commissioning in respect of the		Certificate of commissioning in respect of the
Specified End Use Plant.		Specified End Use Plant. (If COD given, this is
		optional)
An undertaking in the form of an affidavit that all	Ø	An undertaking in the form of an affidavit that all
Applicable Laws of the land are duly complied with		Applicable Laws of the land are duly complied with
failing which Coal supply would be suspended.		failing which Coal supply would be suspended.
Documentation with respect to existing coal	Ø	Documentation with respect to existing coal
linkages, assurance of linkages and/or allocation of		linkages, assurance of linkages and/or allocation of
mine.		mine.
Balance life of each Unit of the Specified End Use	Ø	Balance life of each Unit of the Specified End Use
Plant as certified by CEA.		Plant as certified by CEA.
Any other relevant information /documentation as may be requested for by CIL/the Seller.		Not required

N.B: Documents already given while execution of FSA, if valid, are not required to be given while lifting of coal.

6. SHAKTI B(iii) auction

A. Registration Existing Required Documents		Revised required documents
Self-attested copy of PAN	Ø	Self-attested copy of PAN
Certificate mentioning GST Number	$\square$	Certificate mentioning GST Number

B. Participation in auction		
Submission of EOI along with supporting documents	<b>Ø</b> .	Submission of EOI along with supporting documents
Power of Attorney & Board Resolution	$\square$	Power of Attorney & Board Resolution
Affidavit	Ø	Affidavit
Undertaking	$\square$	Undertaking
Bid Security @ Rs 100 per tonne	✓	Bid Security @ Rs 100 per tonne
Process Fee @ Rs 2.10 per tonne	$\square$	Process Fee @ Rs 2.10 per tonne

C. Execution of FSA		
Notarised Power of Attorney (PoA) & Certified true copy of Board Resolution or Certified true copy of Shareholders Resolution etc.	Ø	Notarised Power of Attorney (PoA) & Certified true copy of Board Resolution or Certified true copy of Shareholders Resolution etc.
Self-attested copy of valid Factory License or copy of application filed for renewal of the same, in case the Factory License has recently expired	Ø	Self-attested copy of valid Factory License or copy of application filed for renewal of the same, in case the Factory License has recently expired
Self-attested copy of Consent to Operate. Alternatively, a valid no-objection certificate from the relevant State Pollution Control Board	☑	Self-attested copy of Consent to Operate. Alternatively, a valid no-objection certificate from the relevant State Pollution Control Board
Self-attested copy of GSTIN and PAN number of the Successful Bidder.	Ø	Self-attested copy of GSTIN and PAN number of the Successful Bidder.
Certificate of Incorporation/ Commencement of Business Certificate.	☑	Certificate of Incorporation/ Commencement of Business Certificate.
In-principle water allocation from state water supply authority.	Ø	In-principle water allocation from state water supply authority.
Certificate of Date of Commercial Operation (COD) issued by CEA.	Ø	Certificate of Date of Commercial Operation (COD) issued by CEA.
Certificate of commissioning in respect of the Specified End Use Plant.	☑	Certificate of commissioning in respect of the Specified End Use Plant.
An undertaking in the form of an affidavit that all applicable laws of the land are duly complied with failing which coal supply would be suspended.		Not Required
Documentation with respect to existing coal linkages, assurance of linkages and/or allocation of mine.	Ø	Documentation with respect to existing coal linkages, assurance of linkages and/or allocation of mine.
Self-attested copy of valid boiler license(s)	Ø	Self-attested copy of valid boiler license(s)

with respect to the Specified End Use Plant or copy of application filed for its renewal, in case the same has recently expired.		with respect to the Specified End Use Plant or copy of application filed for its renewal, in case the same has recently expired.
Balance life of each Unit of the Specified End Use Plant as certified by CEA.	Ø	Balance life of each Unit of the Specified End Use Plant as certified by CEA.
Any other relevant information/documentation as may be requested for by CIL/its Subsidiary.		Not required

D. Lifting of coal	
Copy of Valid PPA	Copy of Valid PPA

7. SHAKTI B(viii) (a) auction

A. Registration Existing Required Documents		Revised required documents
Self-attested copy of PAN		Self-attested copy of PAN
Certificate mentioning GST Number	. 🗹	Certificate mentioning GST Number

B. Participation in auction		
Submission of Notice Inviting Requisition to CEA	Ø	Submission of Notice Inviting Requisition to CEA
Power of Attorney & Board Resolution	$\square$	Power of Attorney & Board Resolution
Affidavit	Ø	Affidavit
Undertaking	. 🗹	Undertaking
Bid Security @ Rs 100 per tonne	Ø	Bid Security @ Rs 100 per tonne
Process Fee @ Rs 11.80 per tonne	$\square$	Process Fee @ Rs 11.80 per tonne

C. Execution of FSA		
Performance Security		Performance Security
Affidavit confirming availability of necessary documents and information	Ø	Affidavit confirming availability of necessary documents and information

D. Lifting of coal			
After lifting of coal within 4.5 months, the consumer has to provide CEA certification on utilization of coal mentioning utilized and unutilized portion of lifted quantity.		After lifting of coal within 4.5 months, the consumer has to provide CEA certification on utilization of coal mentioning utilized and unutilized portion of lifted quantity.	
Consumer can participate in subsequent tranche of auction after specified period upon submission of CEA certificate.	Ø	Consumer can participate in subsequent tranche of auction after specified period upon submission of CEA certificate.	