

We have received the Inception Report of **Cluster-IV** comprising of Badyabati, Rishra, Uttarpara-Kotrung, Serampore, Champdani, Konnagar, Dankuni, Bhadreswar, submitted by Ernst Young, Transaction Advisor on 19<sup>th</sup> April'19 through mail and 23<sup>rd</sup> through hard copies.

The Inception Report, so submitted consists of Project details, Approach and Methodology, Work Plan, Deliverables

While preparing this inception report, basic information was received by the Ernst Young in the form of query from the ULBs concerned during the introductory meeting held on 9<sup>th</sup> April at the office of SUDA.

This Inception Report is a very basic attempt to prepare a guideline that eventually will lead to an exhaustive planning taking into consideration the Techno feasibility aspects of the project itself. This Inception Report will be followed by very intrinsic Micro Planning right from 100% collection of wastes from each and every household in a segregated way, its transportation to the secondary point / transfer station, if feasible, type of vehicles in operation and further requirement, if any for transportation from household/ commercial institutions , assessment of conservancy staff and their optimal utilization, assessment of financial inputs at present inclusive of existing budgetary provision on SWM with regards to manpower, machinery , equipments and recurring expenditure. The report will also assess on real term basis the Gap Analysis, disposal of segregated waste by the sustainable, efficient technology in compliance of the SWM Rule 2016, Directives of NGT and guidelines of MoUHA, disposal of legacy waste based on the quantum and topographical condition of the existing dumping ground.

Feasibility study and it's subsequent report on financial assessment, structuring of project, preparation of Bid Documents, floating of EoI, Bid evaluation management, proposal of PPP model , wherever feasible, proper identification of risk factor at various stages from planning to implementation , Request for Qualification, Request for Proposal, preparation of Tfr, preparation of Concession Agreement, finding bonafide agencies for participation in the Bid Process having that requisite technical and financial capability, signing of MoU is also within the ambit of works to be done by the TAs in the later part.

The Inception report , as submitted by the Ernst Young may be placed in the meeting with the ULBs concerned to be held on 24<sup>th</sup> April for detailed discussion and may be accepted following observation in that meeting , if approved.

*Handwritten initials/signature*

Placed for kind perusal.

24.04.19

Inception Report approval signed.

24/4/19

*Adesh Misra Director*

Director

*DD*

Sub: Invoice against submission and acceptance of Inception Report of Cluster-4

It may kindly be recall that Ernst & Young was engaged as Transaction Advisor for assisting the State Government for planning of scientific Solid Waste Management through Cluster approach and bid process management for selection of developers and operators for Cluster-4 ULBs viz- Baidyabati, Rishra, Uttarpara Kotrung, Serampore, Champdany, Konnagar, Dankuni and Bhadreswar . The total contract value is Rs. 28,93,684/- excluding GST. The terms of payment is placed below:

Stage	Details of stages	Percentage
Stage 1A	Submission of the Inception Report	5%
Stage 1B	Acceptance of Inception Report by the Authority within 7 working days from the date of submission	5%
Stage 2A	Submission of Draft Feasibility Report by the TA	5%
Stage 2B	Acceptance of Draft Feasibility Report, by the Authority within 7 working days from the date of submission	5%
Stage 3	Submission of Final Feasibility Report along with action plan by the TA within 7 working days from the date of submission of corrected draft from the Authority	5%
Stage 4A	Submission of Draft RFP by the Agency	5%
Stage 4B	Acceptance of Draft RFP by the Authority within 30 working days of submission	10%
Stage 5A	Submission of the Final RFP for selection of Agency	10%
Stage 5B	Acceptance of the Final RFP by the Authority within 30 working days of submission	10%
Stage 6	Evaluation of the Tender Documents and recommendation for the Selected Agency	20%
Stage 7	Getting the Concession Agreement signed by the selected Agency	20%
<b>TOTAL</b>		<b>100%</b>

After that, E&Y has submitted the Inception report for Cluster-4 (Placed at **Flag- 'A'**) and acceptance/ approval of the inception report has been provided by the Director, SUDA vide No. SUDA-366/2019/3433 dated 24.04.2019 (Placed at **Flag- 'B'**).

Now, as per the condition of the above mentioned payment schedule, E&Y has submitted their invoice of 10% (5% + 5%) i.e. Rs.341455.42 (including 18% GST) for submission and acceptance of Inception report. (invoice Placed at **Flag- 'C'**).

As E&Y has fulfilled the conditions for payment of their above mentioned invoice, hence, the payment may be released.

*Sujay* 6.6.2019  
(Sujay Mitra)

Chief Manager – Planning & Monitoring

DD

As proposed, following their satisfactory performance and timely submission of inception report and subsequent approval from the Govt, their claim of releasing (5% + 5%) = 10% of their invoice amounting to ₹ 341455.42 (including 18% GST) may be released, if approved in.v.t. Cluster IV

Proposal above may kindly be approved.

10.06.19

Addl. Nisina  
SBH(U)

Director

Director

Pi check the claim and confirm Bl.  
Ref 11/6/19

Acct, P

Pi. examine

~~Ref 13.06.19~~

As per notes and orders at NSP-01, prepage and above

Claim of Ernst & Young LLP amounting to Rs.3,41,454/- vide invoice no.IINL01DL008136 dated 30.05.2019 towards 10% of contract value amounting to Rs.28,93,684/- payable after submission and acceptance of inception report alongwith GST @ 18% thereon found to be in order.

Performance Bank Guarantee bearing no.PBGI01001900287 dated 17.05.2019 amounting to Rs.2,89,368/- i.e. 10% of contract value drawn on RBL Bank Ltd. is presently held with this section.

Placed for consideration please.

Finance Officer

~~14-06-19~~  
Ref 17.06.19

Director  
CMTM

Source of funds be proposed pl.  
Ref 18/6/19

The expenditure may be incurred from Capacity Building & ADOE fund of SBM(U).

24.6.19.

DD

Director, SUDA

May be approved as proposed  
Dish




Proposal nr NSP 2-3.

'X' nr NSP 2 may be allowed considering Capacity Building & A&OE funds under SRM lying with SUDA.

~~Pr. Secretary  
UD&MA OPH.~~

Director, SUDA

Sdf 24/6/15

  
26/11/2019

DD/FO

Sdf 26/6

~~EG~~

Th 26/6

~~AccA, A~~

~~Pr. pres.~~

~~28-06-15~~

As per notes and orders at prepage

As approved by Director, SUDA at prepage, to release the payment in favour of "ERNST & YOUNG LLP" 01 (One) no. of Transfer Advice amounting to Rs.3,06,729/- (Rupees Three Lakh Six Thousand Seven Hundred Twenty Nine only) onward submission to Axis Bank Ltd., Salt Lake, Sector-II Branch as detailed below, has been prepared and placed herewith for signature of both Finance Officers, SUDA please.

Pay order endorsed on the body of the bill is for signature of Finance Officer, SUDA please.

Name of Payee	Particulars	Gross Amt.	(10%) TDS Amt.	(2%) IGST Amt.	Net. Amt.
ERNST & YOUNG LLP	Release of Payment for Submission and acceptance of Inception Report (For Cluster No.3 : Baidyabati, Uttarpara-Kotrung, Rishra, Serampore, Champdani, Konnagar, Dankuni and Bhadreswar) vide invoice no.IINL01DL008136, dated 30.05.2019 against this office order no.SUDA-369/2019/3433, dated 24.04.2019.	3,41,454/-	28,937/-	5,788/-	3,06,729/-

Finance Officer, SUDA  
AND  
Finance Officer, SUDA

28/06/19

Signed  
28.06.19

2019

STATE URBAN DEVELOPMENT AGENCY

NOTE SHEET

File No.: SUDA-368/2019

Sub.: Payment on submission and acceptance of draft Technical Feasibility Report – Regd.

Ernst & Young LLP, 3<sup>rd</sup> & 6<sup>th</sup> floor, World Mark, 1 IGI Airport Hospitality, District, Aerocity, New Delhi, 110 037, India, the Transaction Advisor, who had been engaged in **Assisting the State Government for Planning of Scientific Solid Waste Management through Cluster Approach and Bid Process Management for selection of Developers & Operators**, by the State Urban Development Agency for Cluster- IV, i.e. the Cluster formed with Uttarpara-Kotrung, Konnagar, Rishra, Serampore, Champdany, Baidyabati, Dankuni and Bhadreswar Municipaliticipality, had submitted an invoice for release of **Rs. 3,41,454.24**, for submission of Draft Feasibility Report by the TA and acceptance of the same by the authority, respectively.

Now, as per the Memorandum of Agreement made by the State Urban Development Agency and Ernst & Young LLP, the total Contract Price was Rs. 28,93,684.00, as in Appendix – F, whereas the GST is supposed to be paid by SUDA, as per the prevailing rate.

The payment schedule for the agreement, as referred in Appendix – G of the Contract Agreement, is as follows:

Stage	Details of stages	Percentage
Stage 1A	Submission of the Inception Report	5%
Stage 1B	Acceptance of Inception Report by the Authority within 7 working days from the date of submission	5%
Stage 2A	Submission of Draft Feasibility Report by the TA	5%
Stage 2B	Acceptance of Draft Feasibility Report, by the Authority within 7 working days from the date of submission	5%
Stage 3	Submission of Final Feasibility Report along with action plan by the TA within 7 working days from the date of submission of corrected draft from the Authority	5%
Stage 4A	Submission of Draft RFP by the Agency	5%
Stage 4B	Acceptance of Draft RFP by the Authority within 30 working days of submission	10%
Stage 5A	Submission of the Final RFP for selection of Agency.	10%
Stage 5B	Acceptance of the Final RFP by the Authority within 30 working days of submission	10%
Stage 6	Evaluation of the Tender Documents and recommendation for the Selected Agency	20%
Stage 7	Getting the Concession Agreement signed by the selected Agency	20%
	<b>TOTAL</b>	<b>100%</b>

As per the TFR, the project includes a) augmentation of existing facilities of Uttarpara-Kotrung, Konnagar, Rishra, Serampore, Champdany and Baidyabati, by increasing the capacity of the plants, if necessary, b) Setting up of processing facility of Bhadreswar Municipality at its 6 acres of dumpsite; after necessary

land reclamation, c) Setting up of processing facility of Dankuni Municipality at its 3 acres of dumpsite, after necessary land reclamation, d) Sanitary Landfill of Regional Waste Management Centre will be used for dumping of inerts only, that must cross a limit of 20% of the total waste generation.

Now, the file is placed for approval of the TFR and payment of the same as proposed by the agency, for Stage- 2A and 2B, as per the agreement, if approved.

Submitted and oblige.

Addr. Mission Director, SBM(U)

*Raj 03/09/2019*  
Executive Engineer (Civil)  
W&S Sector, KMDA  
SWM Cell  
State Urban Development Agency

Let it be put up after technical committee meeting and its proceedings be referred.

*4.9.19.*

~~Director~~

Proposal needs to be placed afresh. Will discuss. *Self 5/9/19*

~~AD(SM)~~

*6.9.19.*

~~EE(BKP)~~

EE/SUDA

As per discussion and decision taken, stage NO - 2A i.e. submission of DFR by the TA as per the request of E & Y LLP, India IINLO1DLO08754 dt-18th July, 19. 5% of total payment may be released. Put up for necessary perusal please. *S.K. Mishra 09/09/19.*

Addr. M.D., SBM(U)

5% of total agreement value may be released, if approved Submitted. *09/09/19*

Pl. put up with proceedings of Technical Committee.

EE, SUM

*12.05.19.*

In continuation of NSP-7, please find 'Minutes of 3<sup>rd</sup> meeting of Task Force on SWM' held on 04.09.2019, attached herewith.

This is also to report that observation & modification as suggested by Technical Committee of above Task Force w.r.t. DFR for Cluster-I V has been discussed with TA. They agreed either to incorporate the suggestion or to give clarification on the issues raised by the Technical Committee.

Under this circumstances payment relating to "Submission of DFR by the TA"(Stage-2A) @ 5% of total agreement amount (Ref. Appendix-G, Payment Schedule, Contract Agreement) may be released in favour of M/s E&Y, if approved.

Submitted.

~~Add. Mission Director, SBM(U)~~

*[Signature]*  
13/9/19  
Executive Engineer (civil)  
W&S Sector, KMDA  
SWM cell, SUDA

May kindly be approved. Appendix G of contract agreement may be perused.

*[Signature]*  
17.09.19.

~~Director~~

FO

P, check & confirm.

*[Signature]*  
19/9/19

M/s Ernst & Young has raised invoice for submission and acceptance of technical feasibility report which is 50% and 50% of the total contract price whereas it has been proposed in the note above for payment relating to submission of DFR only i.e. 50%. Please recheck and confirm.

*[Signature]*  
20.09.19

Rechecked & confirmed stage 2A payment as per payment schedule.

~~FO~~ ~~SUDA~~ M/s Ernst & Young has raised consolidated invoice for stage 2A & 2B (50% + 50%) along with 1 GST. Pl. discuss.  
*[Signature]*  
24.09.19.



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NOTE SHEET

SUDA

As discussed with ~~the~~ Director, SUDA, it is sent to f.o, SUDA for further action please.

f.o, SUDA

Acct (P)

Pl. process the file for 50% release of the amount of invoice. (Stage 2A - 5% of the contract price)

has  
25/9/19

Yakub  
25.09.19,

As per notes and orders at prepage

As approved by Director, SUDA at prepage, to release the payment in favour of "ERNST & YOUNG LLP" 01 (One) no. of Transfer Advice amounting to Rs.1,53,365/- (Rupees One Lakh Fifty Three Thousand Three Hundred Sixty Five only) onward submission to Axis Bank Ltd., Salt Lake, Sector-II Branch as detailed below, has been prepared and placed herewith for signature of Director, SUDA and Finance Officer, SUDA please.

Pay order endorsed on the body of the bill is for signature of Finance Officer, SUDA please.

Name of Payee	Particulars	Gross Amt.	(10%) TDS Amt.	(2%) IGST Amt.	Net. Amt.
ERNST & YOUNG LLP	Release of Payment for Submission and acceptance of Draft Feasibility Report by TA (For Cluster No.4: Baidyabati, Uttarpara-Kotrung, Rishra, Serampore, Champdani, Konnagar, Dankuni & Bhadreswar) vide invoice no.IINL01DL008754, dated 17.07.2019 against this office order no.SUDA-369/2019/3433, dated 24.04.2019.	1,70,727/-	14,468/-	2,894/-	1,53,365/-

Finance Officer, SUDA  
AND  
Director, SUDA

2  
FC/AS

10/

26/09/19

Y. H. H. H.  
27.09.19

28/9/19  
27/9/19

EE/SUDA

As per discussion and decision taken, stage NO - 4A i.e. submission of draft RFP by the agency as per the request of E&Y LLP, India vide letter NO - NIL date - 21st January, 2020 and subsequent Invoice NO - ITNLOIDL011249 dt 17th Jan. 2020 Rs 1,70,727.12 including GST 5% of total payment may be released.

Put up for necessary perusal please.

S.K. Mishra  
12/02/2020

Notes above may please be perused.

Payment for submission of RFP (stage-4A as per payment schedule) amounting to Rs 1,70,727.12 including all taxes, being 5% of total agreement cost may be released in favour of E&Y, if approved.

Submitted,

*[Signature]*  
12/02/2020

SE/SWM/SUDA

AMD/SBM(V)/SUDA

Submitted for kind perusal & approval.

*[Signature]*  
12/2/20

Pl. flag the payment schedule.

*[Signature]*  
13-02-2020.

~~SE/SWM~~

EE/SWM

*[Signature]*  
13/2/20

Payment schedule of the agreement is placed at Flag-'A'. (Appendix-G, Stage-4A)

SE/SWM

*[Signature]*  
13/2/2020

AMD/SBM(V)/SUDA

Submitted  
*[Signature]*  
13/2/20

Note prepage.

As E&Y has furnished draft RfP for cluster no: 4, as per payment milestone (stage 4A), we may release 5% of total agreement cost from Capacity Building Component.

Placed for kind approval.

13.02.2020.

~~Director~~

FO

May be check & confirm.

DDY 14/2/20

Payment has already been released in favour of M/S Ernst & Young for Stages 1A,1B (Submission and acceptance of inception report) and 2A (submission of draft feasibility report) @ 5% of the contract price for each stage, concerning Cluster 4.

Now as per the available document in this file and notes above, the agency has submitted the draft RFP (Stage 4A) for which they have raised invoice amounting to Rs 1,70,727 which is 5% of the contract price (for stage 4A). As per the terms of the contract, the proposed payment may be released.

~~Director~~

EE

Pi discurr

DDY 20/2

Y. Hore  
19.02.20.

Discussed & resubmitted on NSP-13.

DDY 28/02/2020



# NOTE SHEET



2020  
 STATE URBAN DEVELOPMENT AGENCY  
 NOTE SHEET  
 File No.: SUDA-369 /2019

Sub.: " Planning of Scientific SWM Project for Cluster-4"-regd.

In continuation of NSP-11 & 12 this is to mention that E & Y has submitted Invoice for payment towards submission of RfP for Cluster-4 SWM Project amounting to Rs. 1,70,727 including all taxes being 5% of the total contract value.

In this connection this is also to mention that payment already made to E&Y from SUDA for this cluster are tabulated under :

Stage	Details of stage As per payment milestone	Percentage (Vide Pg.-17, Appendix-G of MoA	Amount including GST	Remarks
1A	Submission of Inception Report	5% of agreement Amt.	Rs.3,41,454/-	Already paid -vide NSP-05
1B	Acceptance of Inception Report	5% of agreement Amt.		
2A	Submission of Draft TFR	5% of agreement Amt.	Rs.1,70,727/-	Already paid -vide NSP-10
		<b>Total paid =</b>	<b>Rs.5,12,181/-</b>	
4A	Submission of Draft RfP	5% of agreement Amt.	Rs.1,70,727/-	To be paid (Invoice raised by E&Y with this NSP)

Payment amounting to Rs.1,70,727/- for submission of RfP document of Cluster-4 SWM Project may be released in favour of E & Y, if approved.

Submitted for kind perusal.

Director, SUDA

*28/02/2020*  
 Executive Engineer  
 SWM Cell, SUDA

*20*

Payment as proposed be released.

*28/2/20*

Acct (P)

Please process for release of payment.

*02/03/20*

As per notes and orders at prepage

As approved by Director, SUDA at prepage, to release the payment in favour of "ERNST & YOUNG LLP" 01 (One) no. of Transfer Advice amounting to Rs.1,53,365/- (Rupees One Lakh Fifty Three Thousand Three Hundred Sixty Five only) onward submission to Axis Bank Ltd., Salt Lake, Sector-II Branch as detailed below, has been prepared and placed herewith for signature of Director, SUDA and Finance Officer, SUDA please.

Pay order endorsed on the body of the bill is for signature of Finance Officer, SUDA please.

Name of Payee	Particulars	Gross Amt.	(10%) TDS Amt.	(2%) IGST Amt.	Net. Amt.
ERNST & YOUNG LLP	Release of Payment for Submission of Draft RFP (For Cluster No.4: Baidyabati, Uttarpara-Kotrung, Rishra, Serampore, Champdani, Konnagar, Dankuni and Bhadreswar) vide invoice no.IINL01DL011249, dated 17.01.2020 against this office order no.SUDA-368/2019/5293, dated 05.08.2019.	1,70,727/-	14,468/-	2,894/-	1,53,365/-

Finance Officer, SUDA  
AND  
Director, SUDA

03/03/2020

RO (PAS)

Y. Hore  
03.03.20

03/03/2020

EB  
Subj. in Dan

03/03/20  
Y. Hore  
03.03.20

Ernst & Young LLP has submitted the following invoices

- ✓ 1. Tax invoice no - IINL01DL008754 17<sup>th</sup> July, 2019 for submission and acceptance of Draft Feasibility Report for cluster - 4 amounting to Rs.3,41,455.00.
- 2. Tax invoice no - IINL01DL011243 date 17<sup>th</sup> January, 2020 for submission of Final Feasibility Report for cluster - 4 amounting to Rs. 1,70,728.00.
- ✓ 3. Tax invoice no - IINL01DL011249 date 17<sup>th</sup> January, 2020 for submission of draft RfP for cluster - 4 amounting to Rs. 1,70,728.00.
- 4. Tax invoice no - IINL01DL011245 date 17<sup>th</sup> January, 2020 for acceptance of Draft RfP for cluster - 4 amounting to Rs. 3,41,455.00.
5. Tax invoice no - IINL01DL011247 date 17<sup>th</sup> January, 2020 for submission of Final RfP for cluster - 4 amounting to Rs. 3,41,455.00.

Among the above listed invoices part payment for invoice no IINL01DL008754 [for submission of Draft Feasibility Report] amounting to Rs, 1,70,728.00 [i.e. 5% of the tender value] and payment for invoice no IINL01DL011249 [for submission of Draft RfP] amounting to Rs,1,70,728.00 [i.e. 5% of the tender value] has been released by this office keeping in hold the other invoices due to non acceptance of the Feasibility Reports and RfPs by the authority as per tender agreement.

It is to note that the Project Evaluation cum Technical Committee under SWM scheme has given appraisal towards final TFR for the said cluster on 27<sup>th</sup> February 2020 has been placed before Principal Secretary on dated 02.01.2020. Principal Secretary has requested to accord Administrative Approval on urgent basis & the file has moved to Finance department from UD&MA. As per guidance of Principal Secretary the RfP for cluster - 4 has been floated on 03<sup>rd</sup> January, 2020 vide tender ID - 2020\_MAD\_263717\_1 but no bidder participated in the said bid process.

It may be processed to release of total amounting to Rs, 6,82,910.00 against the invoices (amounting to Rs, 1,70,727.00 against Invoice No IINL01DL008754, amounting to Rs,1,70,728.00 against Invoice No IINL01DL011243, amounting to Rs, 3,41,455.00 against Invoice No IINL01DL011245) after acceptance of TFR & RfP documents from competent authority.

Put up for necessary information and taking further necessary action please.

EE/SUDA

S.K. Mishra  
19/05/2020

Notes above may please be perused.  
It may be processed to release an amount of Rs 6,82,910/- in favour of Ernst & Young LLP after acceptance of Feasibility Report and RfP documents from the Competent Authority.

SE/SUDA

San  
28/5/2020

Notes above may kindly be perused.

Accordingly draft letter regarding approval of draft TFR and RfP placed in file for your kind perusal and approval.

If approved we may released the payment to M/s. Ernst & Young.

Director SUDA

Draft signed.

17.06.2020.

17/6/20

SE/SUDA

Action taken through e-office

IEB/SUDA

*[Signature]*

19/6/20

~~FO/SUDA~~ FO/SUDA

for m.a.pt.

*[Signature]*  
19/6/20

Copy of notes & orders extracted from E-File No.SUDA-15014(21)/3/2020-ENGG SEC(SUDA)-SUDA (Computer No.284087) may kindly be seen.

As approved, to release the payment to Transaction Adviser for Cluster-4 out of A & OE, SBM in favour of Ernst & Young LLP against Invoice No.IINL01DL011245 dt. 17.01.2020, IINL01DL011243 dt. 17.01.2020 and IINL01DL008754, a transfer advice amounting to Rs.6,13,460/- (Rupees Six Lakh Thirteen Thousand Four Hundred Sixty) only is prepared and placed herewith for signature of Finance Officers, SUDA please for transmission of the same to the Axis Bank Ltd., Salt Lake, Sector-II branch.

Finance Officer

*(PAS)*

*[Signature]*  
19-06-2020

*[Signature]*  
22.06.20.

*[Signature]*