



GOVERNMENT OF JHARKHAND
STATE URBAN DEVELOPMENT AGENCY(SUDA)
URBAN DEVELOPMENT & HOUSING DEPARTMENT

Re-Tender Notice for
SELECTION OF CHARTERED ACCOUNTANT
/COST ACCOUNTANT FIRM
For **INTERNAL AUDIT OF BOOKS & ACCOUNTS**
IN SUDA & SPMG,
URBAN DEVELOPEMENT & HOUSING DEPARTMENT, JHARKHAND.

REQUEST FOR PROPOSAL

NIT No : SUDA/Int. Audit-157/2017- 11

Ranchi, Date: 20/10/2020

Sale/Down load of RFP document	21/10/2020 from 11:00 HRS
Submission of pre-bid query	29/10/2020 by 14:00 HRS
Last Date for Submission of Proposal	17/11/2020 by 16:00 HRS
Opening of Technical Proposals	17/11/2020 at 17:00 HRS

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GOVERNMENT OF JHARKHAND
STATE URBAN DEVELOPMENT AGENCY
URBAN DEVELOPMENT AND HOUSING DEPARTMENT

DISCLAIMER

1. Though adequate care has been taken while issuing this RFP, the applicant Chartered Accountant/ Cost Accountant Firm should satisfy himself that the document is complete in all respects. Intimation of any discrepancy shall be given to this office (as mentioned below) immediately. If no intimation is received by this office within 3 days from the date of issue of the RFP, then this office shall consider that the document received by the Applicant Firm is complete in all respects and that the Applicant Firm is satisfied that the RFP is complete in all respect.
2. SUDA reserves the right to change any or all of the provisions of this RFP before date of submission. Such changes would be intimated to all parties procuring this RFP before date of submission.
3. SUDA reserves the right to reject any or the entire Proposal without assigning any reasons whatsoever. No correspondence will be entertained on this account.

Sd/-
Director,
State Urban Development Agency

GOVERNMENT OF JHARKHAND
STATE URBAN DEVELOPMENT AGENCY

URBAN DEVELOPMENT AND HOUSING DEPARTMENT

NIT No.: SUDA/AMRUT/Int. Audit-157/2017 - 11

Date: 20/10/2020

REQUEST FOR PROPOSAL

1.	Name of the Work	Selection of Chartered Accountant/ Cost Accountant Firms for Internal Audit of Books and Accounts of SUDA & SPMG, Urban Development & Housing Department, Govt. of Jharkhand.
2.	Language of Documentation	English
3.	Mode of submission of bids	Offline-By Speed /Registered Post/By Hand (Open Tender)
4.	Cost of Tender Document & EMD (In INR)	Cost of Tender Document: 1,000.00 (<i>Rs. One thousand only non-refundable</i>) EMD: 5,000.00 (<i>Rs. Five Thousand only</i>).
5.	Method of Selection	Quality & Cost Based Selection(QCBS) Method.
6.	Total contract Period	2 Years (24 Months)
7.	Date of starting of sale/downloading of Tender from website.	21/10/2020 from 11:00 HRS
8.	Last date of submission of pre-bid queries through email.	29/10/2020 BY 14:00 HRS
10.	Last Date/Time for submission of Bids	17/11/2020 BY 16:00 HRS
11.	Date of Technical Bid Opening	17/11/2020 at 17:00 HRS
12.	Bid Sale/ Submission address	Director, State Urban Development Agency (SUDA), Urban Development and Housing Department, Room No-405, 4th Floor, Project Building, Dhurwa, Ranchi – 834004.
13.	Helpline no.	0651-2446640

Sd/-
Director,
State Urban Development Agency
Urban Development & Housing
Department

GOVERNMENT OF JHARKHAND
STATE URBAN DEVELOPMENT AGENCY
URBAN DEVELOPMENT AND HOUSING DEPARTMENT

NIT No. : SUDA/Int. Audit-157/2017- 11

Date: 20/10/2020

Selection of Chartered Accountant/ Cost Accountant Firms for Internal Audit of Books and Accounts in SUDA & SPMG, Urban Development & Housing Department, Jharkhand.

1. State Urban Development Agency is performing their day to day activities in adherence to the policies, procedures and guidelines provided by the Urban Development and Housing Department, Govt. of Jharkhand to achieve effective good urban governance.
2. The Department, in its supervisory role, monitors the functioning of all schemes of the Government, Urban Reform implementation etc. It also includes the supervision of the regulatory and developmental functions of the ULBs.
3. The Urban Development and Housing Department, Government of Jharkhand proposes to hire services of CA Firms/Cost Accountant firms for Internal Audit in SUDA Directorate and SPMG Cell. Accordingly sealed Proposals are invited from experienced and well qualified Chartered Accountant/Cost Accountant Firms for the same.
4. The Tender documents can be purchased from State Urban Development Agency, Urban Development and Housing Department, Govt. of Jharkhand, 4th floor, Project Building, Dhurwa, Ranchi on any working day upon payment of Rs. 1000.00 (one Thousand only) which is non-refundable in the shape of D/D, in favour of *Director*, State Urban Development Agency, Payable at *Ranchi* or downloaded from udhd.jharkhand.gov.in, (Tender link). If the Tender Document is downloaded from the site the cost of Tender Document of Rs. 1000 (One thousand only) will be submitted along with Technical Bid in shape of D.D in favour of *Director*, State Urban Development Agency, Payable at *Ranchi*.

The last date for submission of proposal is – 17/11/2020 by 16:00 HRS and the Technical Bid will open on the same day at 17/11/2020 at 17:00 HRS.

5. All communications should be addressed to:

The Director,
State Urban Development Agency,
Urban Development and Housing Department,
Room No 405, 4th Floor, Project Building, Dhurwa, Ranchi – 834004.
Phone: 0651-2446640, Email: ccbpijharkhand@gmail.com

6. The Financial Bid of Technically qualified bidders will be opened before the duly constituted committee at suitable time, date and place and date for opening of financial bid will be communicated to the technically qualified bidders.

7. The State Urban Development Agency reserves the right to accept or reject in part or as a whole, any of the proposal received without assigning any reason thereof.
8. Tender Fee, Bid Security and Total Time Period of Work is defined in Table 1.1.

Table - 1.1				
S. No.	Name of the Work	EMD Fee	Cost of Tender Document	Contract Duration
1.	Request for proposal for Selection of Chartered Accountant/Cost Accountant Firms for Internal Audit of Books and Accounts in SUDA & SPMG, UD&HD, Jharkhand.	EMD Rs. 5,000/- in form of demand draft in favor of Director, State Urban Development Agency payable at Ranchi.	Rs 1,000/- for each package in form of demand draft in favour of Director, State Urban Development Agency payable at Ranchi	2 Years/ 24 months

9. Initially, Period of availability of tender date & time/pre-bid meeting/date of submission/opening of tender papers are as given in Table 1.2.

Table - 1.2						
S. No.	Procurement Agency	Place of opening	Availability of tender document		Pre Bid Query submission	Date & Time of Technical Bid Opening
A	B	C	D		E	F
1.	Director, State Urban Development Agency ,Urban Development and Housing Department, Govt. of Jharkhand	Official Chamber of Director, State Urban Development Agency, 4th Floor, Project Building, Dhurwa, Ranchi-834004	Starting of sale/downloading of Bid Document from: 21/10/2020 from 11:00 HRS	Last date for Bid Submission is 17/11/2020 by 16:00 HRS.	The pre bid queries need to be sent to the e-mail ID ccbpijharkhand@gmail.com by 29/10/2020 by 14:00 HRS.	17/11/2020 by 17:00 HRS.

10. Cost of Tender document (non-refundable) as mentioned in table 1.1 above, will be in form of Demand Draft drawn from any Nationalized/Scheduled Bank, in favor of **Director, State Urban Development Agency, Urban Development and Housing Department, Government of Jharkhand"** payable at Ranchi.
11. The Bidder shall furnish EMD fee for the amount as mentioned in table - 1.1. EMD shall be in form of Demand Draft drawn on a Nationalized/Scheduled Bank, in favor of **Director, State Urban Development Agency, Urban Development and Housing Department, Government of Jharkhand"** payable at Ranchi.
12. The envelope containing Cost of Tender document and EMD fee should be super scribed with NIT No, name of bidder and to be addressed to the **Director, State Urban**

Development Agency, Urban Development and Housing Department, Government of Jharkhand, 4th Floor, Project Building, Dhurwa, Ranchi-834004, Jharkhand.

13. The last date for tender submission in the Office of *Director, State Urban Development Agency, Urban Development and Housing Department, Government of Jharkhand, Room No 405, 4th Floor, Project Building, Dhurwa, Ranchi-834004, Jharkhand* is 17/11/2020 till 16:00 HRS, either by registered post/Speed post/by hand. Only those bids will be entertained whose cost of tender document (tender fee) and EMD fee is received along with the bid within the stipulated date and time. SUDA will not be held responsible for the postal delay, if any, in the delivery of the document or non-receipt of the same.
14. **Submission of Proposal:** Bidders shall submit their proposals at the address and within the time frame as specified in the RFP.

The tender Fee and EMD fee in original shall be submitted in a sealed cover superscripted "tender Fee and EMD fee for Internal Audit".

The **technical Proposal** shall be submitted in a sealed cover super scripted "Technical Proposal For Internal Audit" along with the signed RFP and all documents as per the list given in RFP.

The **financial Proposal** shall be submitted in a sealed cover **super scripted "Financial Bid for Internal Audit in the duly filled in Financial Proposal Formats as given in RFP.**

The above mentioned all the 3 sealed envelopes shall be kept in an envelope of bigger Size and shall be properly sealed and super scribed with the name of Firm, its address, name of the work and Package No as given in the RFP.
15. The interested bidders should submit their queries through email:- ccbpharkhand@gmail.com in writing till 29/10/2020 by 14:00 HRS. Queries received after the set time limit shall not be considered .
16. The pre-bid queries will be addressed through e-mail to the bidder and will be uploaded on the Departmental website (Under Tender Link).
17. The SUDA reserves the right to accept or reject all proposals without assigning any reason. It also reserves the right to postpone or to cancel the invitation and pre-bid meeting.

18. For any other clarifications related to bid submission, firms may contact State Urban Development Agency, Urban Development and Housing Department, Govt. of Jharkhand telephonically on telephone no. 0651-2446640 before the last date of submission of the bid document during working hours.
19. Other details can be seen in the RFP document.
20. Bids without requisite details/documents are liable for rejection and Department will not entertain any further communication in such cases.

Sd/-
Director,
State Urban Development Agency

Section-1

INSTRUCTION TO BIDDERS

INSTRUCTION TO BIDDERS

1. MINIMUM ELIGIBILITY CRITERIA

1.1. Technical capabilities:

- 1.1.1. Chartered Accountant/Cost Accountant Firm should have more than 5 years of experience of working in the internal and statutory audit of Books and Accounts in Government sector/PSUs/ULB in India.
- 1.1.2. The Firm must be registered with ICAI (Institute of Chartered Accountants of India)/ ICWAI (Institute of Cost & Works Accountants of India) and operational in India since last 5 (Five) years from the date of publish of this RFP and must remain operational thereafter.
- 1.1.3. The Firm must not have been blacklisted or Debarred by any State Govt./Govt. Agency/PSU/GoI during last three years from time of submission of tender. The firm must submit an affidavit to this effect signed by authorized signatory as mentioned in the RFP
- 1.1.4. Joint venture with other firms is not permitted for this assignment.
- 1.1.5. The Firm must be empaneled with C&AG. C&AG empanelment is only required for the Chartered Accountant Firms, it is not required for the Cost Accountant Firms.
- 1.1.6. The Head Office/ Branch Office of the Firm must be situated in Jharkhand.

1.2. Financial capacity

- 1.2.1. Average Annual turnover of the Firm from Consultancy services in last 3 (three) Financial years (2017-18, 2018-19, 2019-20) must be equal or greater than 50 Lakhs (Fifty Lakhs) per annum.

2. LANGUAGE OF THE PROPOSAL :

- 2.1 Applicant Firms are required to furnish all information and documents, as called for in this Document, in English Language. Any printed literature furnished by the Applicant Firm may be in another language, provided that this literature is accompanied by an English translation, in which case, for the purpose of interpretation of the document, the English version duly authenticated will prevail.

3. SIGNING OF THE PROPOSAL :

- 3.1 Proposal shall be signed by the Applicant Firm or by his duly authorized person holding power of attorney for signing the Proposal document. A copy of registered power of attorney shall accompany the Proposal.
- 3.2 In case the Proposal is submitted by a proprietary firm, it shall be signed by the proprietor giving his full name and also full name of his firm with present address.
- 3.3 In case the Proposal is submitted by a partnership firm, it shall be signed by all the partners.

- 3.4 If the Proposal is submitted by a company, it shall be signed by a duly authorized person holding power of attorney for signing the Proposal document. A certified copy of registered power of attorney shall accompany the Proposal.
- 3.5 The original Proposal shall be printed, typed or written in ink, and shall be signed by a person or persons duly authorized to sign on behalf of the Applicant Firm. All pages of the Proposal and where entries or amendments have been made shall be initialled by the person or persons signing the Proposal.
- 3.6 The Proposal shall ordinarily contain no alterations or additions, except those to comply with instructions issued by the Department, or as may be necessary to correct errors made by the applicant in which case the person or persons signing the Proposal shall initial such corrections.
- 3.7 All witnesses and sureties shall be persons of status and probity. Their full names, occupations and addresses shall be provided below their signatures. All signatures shall be dated.

4. COST OF PROPOSAL :

- 4.1 The Applicant Firm shall bear all costs associated with the preparation and submission of its Proposal, including cost of presentation for the purposes of clarification of the Proposal, if any.
- 4.2 Department in no case shall be responsible or liable for any such costs regardless of the conduct or outcome of the bidding process.
- 4.3 Any Applicant Firm wishing to undertake ULB visits for familiarization with site conditions may do so. All costs towards ULB visits, conference and submission of documents shall be borne by the Applicant Firm themselves.
- 4.4 All payments to the Firm shall be made in INR in accordance with the provisions.

5. RIGHT TO ACCEPT/REJECT PROPOSALS:

- 5.1 The decision of the Director, SUDA, UDHD, Govt. of Jharkhand regarding the opening of Proposals, evaluation and acceptance of the Proposal shall be final and binding on all the Applicant Firms.
- 5.2 The Directorate reserves the right to accept or reject any Proposal, and reject all Proposals at any time prior to award of Proposal, without thereby incurring any liability to the affected Applicant Firm or Applicant Firms or any obligation to inform the affected Applicant Firm or Applicant Firms of the grounds for the department's decision.

6. PERFORMANCE GUARANTEE :

- 6.1 The qualified and selected applicant shall submit irrevocable performance bank guarantee, in prescribed format- Form No. F-3 from a scheduled commercial bank, at the time of signing the agreement.
- 6.2 The successful applicant shall provide a Bank Guarantee amounting to 2% of the Project amount towards Performance Guarantee in favour of "Director, State Urban

Development Agency, *Urban Development and Housing Department*” Jharkhand, for the agreement period.

7. SIGNING OF AGREEMENT :

- 7.1 The successful Applicant Firm will report in the office of the **Director, State Urban Development Agency, Urban Development and housing Department, Government of Jharkhand** with required non-judicial paper of appropriate amount, to be purchased from the State of Jharkhand only, within 15 (fifteen) days, for signing the formal agreement between the parties.
- 7.2 The agreement will be signed between SUDA and selected Firm.
- 7.3 The signing of the agreement shall take place only after furnishing of performance guarantee. The agreement will be signed by the legally authorized person of the Applicant Firm as stated in RFP. If the applicant fails to sign the agreement in the specified time period, the performance guarantee, shall be forfeited.

8. TIME SCHEDULE OF CONSULTANCY:

- 8.1 The Chartered Accountant/Cost Accountant Firm, thus selected, would be expected to provide services within the time frame as finalized by the **Urban Development and Housing Department, Government of Jharkhand**.

9. GENERAL OUTPUTS AND TIMELINE EXPECTED FROM FIRM :

The assignment is output based. The expected outputs and deliverables for the Firm would be as below during period of assignment:

- 9.1 Quarterly Audit Report including Utilization certificate for various schemes should be structured as prescribed in **Annexure-2**
- 9.2 Utilization certificate on cumulative basis for various schemes e.g AMRUT, Namami Gange, State Grant, SBM & Other schemes as may be required during the period of audit.
- 9.3 All the above deliverables shall be in three copies (in English). Two copy is to be submitted to **Director, State Urban Development Agency/Project Director-SPMG, UD&HD**. (Hard copy as well as soft copy in PDF format) and One copy for Chartered Accountant/Cost Accountant Firm.
- 9.4 Prior to submission of report to *Director, State Urban Development Agency (SUDA), UD&HD*, draft must be shared with the concerned financial management specialist of SUDA and their comment should be incorporated in final report. All reports and documents shall be submitted to SPMG and SUDA should be duly signed by partner/proprietor of the firm.
- 9.5 The Auditor should report the minor irregularities; wrong calculations etc. to SUDA immediately after detection so that the same may be get rectified on the spot.
- 9.6 The Auditor should submit Quarterly report within 30 days of end of the quarter positively covering all the irregularities detected during course of the audit.

Note:

- i. The activities/assignment mentioned in above clause 9 will have to be carried out parallel within the given time period.
- ii. All reports must be submitted in both print and electronic version to SPMG and SUDA. All equipment required for satisfactory services for this project shall be obtained by the Firm at their own cost and shall be their property.

10. SUBMISSION OF REPORT:

- 10.1 The Auditor should submit Quarterly/Annual report within 30 days of end of the quarter/ Financial Year.

11. INFORMATION FOR FIRM FOR SUBMITTING THE PROPOSAL:

11.1 TECHNICAL PROPOSAL

Bidders shall submit the technical proposal in the formats given in RFP. While submitting the Technical Proposal, the Bidder shall, in particular, ensure that:

- 11.1.1 The EMD fee and Tender Fee is provided;
- 11.1.2 If the firm is registered under MSME and claim for exemption in Tender Fee and EMD amount, in this case the concerned firm need to submit the requisite documents pertaining to MSME clauses mentioned in the Jharkhand Procurement Policy 2014. If the documents found complete, then the concerned firm will be exempted from Tender Fee and EMD. In case of incomplete documentation as per the Jharkhand Procurement Policy 2014, accordingly the department will cancel the bid submitted by the Firm
- 11.1.3 All forms are submitted in the prescribed formats and signed by the prescribed signatories;
- 11.1.4 The CVs have been recently signed and dated, in blue ink by the respective Personnel and Countersigned by the Bidder. Photocopy or unsigned /countersigned CVs shall be rejected;
- 11.1.5 The CVs shall contain an undertaking from the respective Key Personnel about his/her availability for the duration specified in the RFP;
- 11.1.6 Key Personnel would be available for the period indicated in the TOR;
- 11.1.7 No Key Personnel should have attained the age of 75 years at the time of submitting the proposal;
- 11.1.8 Failure to comply with the requirements spelt out in above Clause shall make the Proposal liable to be rejected.
- 11.1.9 If an individual Key Personnel makes a false information regarding his qualification, experience or other particulars, he shall be liable to be debarred for any future assignment of Urban Development and Housing Department for a period of 3 (three) years. The award of this Consultancy to the Bidder may also be liable to cancellation in such an event.

11.1.10 The proposed team shall include experts and specialists (the "Professional Personnel") in their respective areas of expertise and managerial/support staff such that the Chartered Accountant/Cost Accountant Firm should be able to complete the Consultancy within the specified time schedule. The team shall comprise other competent and experienced professional personnel in the relevant areas of expertise (where applicable) as required for successful completion of this Consultancy. The CV of each such professional personnel, if any, should also be submitted in the prescribed format which is attached in this RFP.

11.1.11 *Director, State Urban Development Agency, UD&HD* reserves the right to verify all statements, information, and documents submitted by the Bidder in response to the RFP.

11.2 FINANCIAL PROPOSAL:

11.2.1 Bidders shall submit the financial proposal in the prescribed format which is attached in this RFP ("Financial Proposal") clearly indicating the total cost of the Consultancy in Indian Rupees and It has to be signed by the bidder's authorized representative. In the event of any difference between figures and words, the amount indicated in words shall prevail.

11.2.2 While submitting the Financial Proposal, the Bidder shall ensure the following:

- All the costs associated with the assignment shall be included in the Financial Proposal.
- The Financial Proposal shall take into account all expenses and tax liabilities (Excluding GST).
- Costs shall be expressed in INR.

12. EVALUATION OF THE PROPOSAL (QCBS):

12.1 Technical Evaluation:-

Proposals are to be submitted in two covers. Technical covers are opened first and evaluated. Those securing less than the minimum are rejected and the financial cover of the rest are opened. The qualified bidders will be intimated about the opening of price bid. Proposal is to be evaluated in "QCBS (Quality and cost basis method)" Method. Proposal will be evaluated on the basis of Technical & Financial Proposals submitted by the Bidder. Financial Proposal of only those Bidders will be opened who have secured a minimum of 70 marks in Technical Evaluation including presentation. The Proposals submitted will be evaluated using the following criteria:

S. No.	Criteria	Marks
1	Firm's General Experience & Experience in similar assignments	40
2	Manpower strength, experience of Team professionals	40

3	Technical presentation (Adequacy of the proposed work plan and methodology- Power point presentation)	20
Total Points-		100

12.1.1 The number of points to be given under each evaluation sub-criteria for firm's general experience in the field of assignment is:

S. No.	Description	Criteria	Marks
1	General Experience of the firm: (Bidders must submit incorporation certificate of the firm, work orders/contract Agreement documents)	Up to 10 Years. After that 02 marks for each additional year. <i>(Example-A firm with 15 Years of Experience will get full marks)</i>	0 Maximum 10 Marks
2	Experience in State/Central Govt./CPSU/Banks other than ULB: Number of Completed projects for Statutory Audit / Internal Audit handled in the last 5 financial years. (Bidders must submit work orders/contract Agreement documents. For this purpose one work order will count for one project/assignment)	Up to 3 projects /assignments. After that 02 marks for each additional project/assignment. <i>(Example- A firm completed 8 projects/ assignments will get full marks)</i>	0 Maximum 10 Marks
3	Experience of Statutory Audit/Internal Audit of Urban Local Bodies (ULBs). Number of Completed projects for Statutory Audit / Internal Audit handled in the last 5 financial years. (Bidders must submit work orders/contract Agreement documents. For this purpose one work order will count for one project/assignment)	Up to 3 projects /assignments. After that 02 mark for each additional project/assignment. <i>(Example- A firm completed 8 projects/assignments will get full marks)</i>	0 Maximum 10 Marks
3	Average Annual Turnover from consultancy services during last 3 Financial years will be at least 50 lakhs (Bidders must submit C.A certificate for turnover along with Balance Sheet and P/L A/C. The last three Financial year should be read as FY :2017-18, 2018-19)	50 Lakhs After that 1 mark for every additional 10 lakhs. <i>(Example- A firm with average 150 Lakhs Turnover will get full marks)</i>	0 Maximum 10 Marks

S. No.	Description	Criteria	Marks
	and 2019-20)		
	Total Marks -		40

12.1.2 The number of points to be given under each evaluation sub-criteria for competence/experience of key staff for the assignment is: (Pl. attached the relevant proof)

Sl.No.	Position	Criteria	Marking	Maximum Marks
1.	Team Leader and Municipal Audit Expert (CA / Cost Accountant) (1 Person)	Minimum 8 years of post-qualification experience in relevant field. (Bidders must submit experience certificate of Team leader.)	For 8 years of post-qualification experience. After that 2 marks for each additional year of experience. <i>(Example- A person with 18 years of post-qualification experience will get full marks)</i>	0 Maximum 20 Marks
2.	Audit Manager (CA / Cost Accountant) (1 Person)	Minimum 5 years of post-qualification experience in relevant field. (Bidders must submit experience certificate of Audit Manager.)	For 5 years of post-qualification experience. After that 2 marks for each additional year of experience. <i>(Example- A person with 10 yrs of experience will get full marks)</i>	0 Maximum 10 Marks
3.	Audit Assistant (Minimum Qualification-C. A Inter/ ICWAI Inter/B. Com) (1 person)	Minimum 3 years of post-qualification experience in relevant field (Bidders must submit experience certificate of Audit Assistant.)	For 3 years of post-qualification experience. After that 5 marks for each additional year of experience. <i>(Example- A person with 5 years of experience will get full marks)</i>	0 Maximum 10 Marks
Total Marks -				40
Grand Total (Table 12.1.1+12.1.2)				80

Note: - Chartered Accountant/Cost Accountant Firms will secure minimum 50 marks out of the above 80 marks in Technical Evaluation, will only be eligible for Technical presentation (Power Point Presentation).

12.1.3. The number of marks to be given under each evaluation sub-criteria for qualification of key staff and Adequacy of the proposed work plan and methodology in responding to TOR:

Sl No	Criteria	Marks
1	Technical presentation (Adequacy of the proposed work plan and methodology, resource engagement and Institutional support – Power Point Presentation 20 Minutes. (The Technical presentation is mandatory for qualifying in the Technical Bid)	20
	Total Marks	20
	Grand Total (Table 12.1.1+12.1.2+12.1.3)	100

Note: Financial Proposal of only those Bidders will be opened who have secured a Minimum of 70 Marks out of 100 marks in Technical Evaluation.

12.2 PUBLIC OPENING AND EVALUATION OF FINANCIAL BID

12.2.1 Public Opening of Financial Proposals

12.2.1.1 At the public opening of Financial Proposals, Consultant's representatives who choose to attend will sign on Attendance Sheet.

12.2.1.2 The marks of each Technical Proposal that met the minimum mark of 70 will be read out aloud and their financial proposal will be open.

12.2.1.3 Each Financial Proposal will be checked to confirm that it has remained sealed and unopened.

12.2.1.4 The department's representative will open each Financial Proposal. Such representative will read out aloud the name of the Consultant and the total price shown in the Consultant's Financial Proposal. This information will be recorded in writing by the representative.

12.2.2 Evaluation of Financial Proposals

12.2.2.1 Following the ranking of Technical Proposals, financial proposals shall be opened publicly.

12.2.2.2 Consultants' attendance at the opening of Financial Proposals is optional.

12.2.2.3 The tender committee will review the detailed content of each Financial Proposal. During the review of Financial Proposals, the Committee and any UD&HD, Jharkhand personnel and others involved in the evaluation process, will not be permitted to seek clarification or additional information from any Consultant, who has submitted a Financial Proposal. Financial Proposals will be reviewed to ensure these are free from any arithmetical or

computational errors:

12.2.2.4 The detailed contents of each Financial Proposal will be subsequently reviewed.

12.2.2.5 Following completion of evaluation of Technical and Financial Proposals, the firm which has been selected for clusters will be invited for contract negotiation.

The lowest evaluated Financial Proposal (Fm) is given the maximum financial score (Sf) The formula for determining the financial scores (Sf) of all other Proposals is calculated as following:

$Sf = 100 \times Fm / F$, in which

Sf is the financial score, "Fm" is the lowest price, and "F" the price of the proposal under consideration.

The weights given to the Technical (T) and Financial (P) Proposals are:

T = 70 [weight]

P = 30 [weight]

Proposals are ranked according to their combined technical (St) and financial(Sf) scores using the weights.

- T = the weight given to the Technical Proposal; P = the weight given to the Financial Proposal; T + P = 1)as following: $S = St \times T\% + Sf \times P\%$. (Final Score)

13. THE MANDATORY KEY POSITIONS FOR THE ASSIGNMENT:

S.No.	Position	Qualifications, Skills and Experience
1	Team Leader and Municipal Audit Expert	1. Chartered Accountant/Cost Accountant with at least 8 years of relevant post-qualification experience; 2. Must have successfully managed & completed at least 3 no's of similar assignments in Audit of Books and Accounts in Govt. Department . 3. Fluent in Hindi and English; 4. Proficiency in use of Tally (For Team Leadership, the expert must possess leadership qualities)
2	Audit Manager	1. Chartered Accountant/Cost Accountant with at least 5 years of relevant post-qualification experience; 2. Must have successfully managed & completed at least 1 no's of similar assignments in Audit of Books and Accounts in Govt. Department. 3. Fluent in Hindi and English; 4. Proficiency in use of Tally

3	Audit Assistant	1. Commerce Graduate / CA/Costing Intermediate completed & 1 years of article-ship) with at least 3 years of relevant post-qualification experience 2. Fluent in Hindi/English 3. Proficiency in use of Tally.
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Note: The Firm may in addition, procure the services of Expert/ Qualified CA/ Cost Accountant as per the requirement of services.

14. PRE-PROPOSAL/PROPOSAL CONFERENCE

14.1 Pre-Bid queries of the Applicant Firms shall be convened through email to ccbpharkhand@gmail.com at the designated date and time mentioned in the RFP. After the last date of receiving the pre-bid queries, the replies of the same will be uploaded on website and the applicant firms are requested to go through the replies from the website only.

14.2 During the course of Pre-Proposal/Proposal Conference, the Applicant firms will be free to seek clarifications and make suggestions for consideration of Department. The Department shall Endeavour to provide clarifications and such further information as it may, in its sole discretion, considered appropriate for facilitating a fair, transparent and competitive Selection Process.

15. CLARIFICATIONS:

15.1 Applicants requiring any clarification on the RFP may send their queries to the SUDA in writing before the date mentioned. The queries should be sent to ccbpharkhand@gmail.com. The Department shall endeavor to respond to the queries within the period specified therein through e-mail.

15.2 Department will post the reply to all such queries on the Official Website. Department reserves the right not to respond to any questions or provide any clarifications, in its sole discretion, and nothing in this Clause, shall be construed as obliging Department to respond to any question or to provide any clarification.

16. AMENDMENT OF RFP:

16.1 At any time prior to the deadline for submission of Proposal, Department, for any reason, whether at its own initiative or in response to clarifications requested by an Applicant Firm, modify the RFP document by the issuance of Addendum/ Amendment and posting it on the Official Website.

16.2 In order to afford the Applicant firms a reasonable time for taking an amendment into account, or for any other reason, the Department may, in its sole discretion, extend the Proposal Submission/Opening Date.

16.3 The Applicant Firms shall submit the Proposal in PDF format with all pages numbered serially and by giving an index of submissions. Each page of the

submission shall be initiated by the Authorized Representative of the Applicant Firm as per the terms of the RFP.

17. MODIFICATION/SUBSTITUTION/WITHDRAWAL OF PROPOSALS

17.1 The Applicant Firm may modify, substitute, or withdraw its Proposal after submission, provided that written notice of the modification, substitution, or withdrawal is received by Department prior to closing date. No Proposal shall be modified, substituted, or withdrawn by the Applicant Firm on or after the closing Date.

17.2 The modification, substitution, or withdrawal notice shall be prepared, sealed, marked, and delivered in accordance with the envelopes being additionally marked "MODIFICATION", "SUBSTITUTION" or "WITHDRAWAL", as appropriate.

18. SUBSTITUTION OF KEY PERSONNEL

18.1 Department will not normally consider any request of the Selected Applicant Firm for substitution of Key Personnel as the ranking of the Applicant Firm is based on the evaluation of Key Personnel and any change therein may upset the ranking. Substitution will, however, be permitted if the Key Personnel is not available for reasons of any incapacity or due to health, subject to equally or better qualified and experienced personnel being provided to the satisfaction of Department.

18.2 Department expects all the Key Personnel to be available during implementation of the Agreement. Department will not consider substitution of Key Personnel except for reasons of any incapacity or due to health. Such substitution shall ordinarily be limited to one Key Personnel subject to equally or better qualified and experienced personnel being provided to the satisfaction of Department. As a condition to such substitution, a sum equal to 20% (twenty per cent) of the remuneration specified for the original Key Personnel shall be deducted from the payments due to the Firm. In the case of a second substitution hereunder, such deduction shall be 50% (fifty per cent) of the remuneration specified for the original Key Personnel. Any further substitution may lead to disqualification of the consultancy.

18.3 Substitution of the Audit Manager will not normally be considered and may lead to disqualification of the Applicant Firm or termination of the Agreement.

19. PAYMENT SCHEDULE:

DELIVERABLES / OUTPUT (CELL WISE)	FEES PAYABLE
1st Quarterly Report	20% of Annual Contract Price
2nd Quarterly Report	20% of Annual Contract Price

3rd Quarterly Report	20% of Annual Contract Price
4th Quarterly Report with final Accounts.	40% of Annual Contract Price

20. INCOME TAX:

Income tax will be deducted from each bill as applicable and certificate to this effect shall be issued in due course in prescribed format.

21. GST & OTHER TAX:

The quoted rate should be inclusive of all taxes excluding GST. GST will be paid as per the current applicable rate and will be guided as per the prevailing rates.

22. PRICE:

Bidders are requested to quote their rates as per cell wise (refer FORM FIN-1-2). The rate should be inclusive of all kind of taxes and duties excluding GST. The Firm will be required to submit justification to substantiate the price break-up of the rate quoted in price bid.

23. INSURANCE:

No insurance charge in any shape will be paid by the department. However the Firm may insure their staff and equipment for damage or loss in transit or during the work, at their own cost. Department will not be responsible for any loss for the damage to the equipment or person for any unforeseen reasons.

24. NUMBER OF PROPOSALS

No Bidder or its Associate shall submit more than one Application/Proposal for this assignment.

SUBMISSION, OPENING AND EVALUATION OF PROPOSAL

24.1 Submission of Proposal:

The Tender fee along with the EMD and all related documents as described in RFP should be in a sealed cover which will be received in the office of:

**Director, SUDA, Room No 405, 4th Floor, PROJECT Building
Urban Development and Housing Department, Govt. of Jharkhand,
Dhurwa, Ranchi – 834004 up to 17/11/2020 by 16:00 HRS**

Fees: *Cover-1-* The Firms will have to submit a non-refundable tender document cost of Rs. 1,000/- and EMD of Rs. 5,000/- by instrument of bank draft of any Nationalized/ Scheduled Bank in favour of Director, State Urban Development Agency, Payable at Ranchi.

Cover-2- Technical Proposal

Cover-3- Financial Proposal

In Cover-2, All details as asked in this RFP is to be submitted, The Bid will be treated as non-responsive if the relevant documents as mentioned in the NIT is missing.

In Cover-3, duly filled Financial Proposal in the format as given in this RFP is to be submitted.

The above mentioned all the 3 sealed covers shall be kept in an envelope of bigger Size and shall be properly sealed and super scribed with the name of Firm, its address, name of the work and enclosure as cover 1,2&3 as given in the RFP.

24.2 **Opening of Proposal:**

Bidders are required to submit the requisite RFP Tender document Fee and EMD as described in this RFP, Only those proposals will be opened whose EMD and Tender document fee reaches the Tender Inviting authority in prescribed address and time as specified in this RFP. Bid will be opened in two cover system as described, Financial Proposal of only those bidders will be opened who has qualified in the Technical Bid and declared "*technically qualified*".

If the firm is registered under MSME and claim for exemption in Tender Fee and EMD amount, in this case the concerned firm need to submit the requisite documents pertaining to MSME clauses mentioned in the Jharkhand Procurement Policy 2014. If the documents found complete, then the concerned firm will be exempted from Tender Fee and EMD. In case of incomplete documentation as per the Jharkhand Procurement Policy 2014, accordingly the department will cancel the bid submitted by the Firm.

25. **TOR:**

The notes to Chartered Accountant/Cost Accountant Firm, corrigendum, RFP, other terms & conditions, detailed scope of work and TOR shall be the integral part of the Agreement.

26. **ADDRESS:**

The bidder will have to furnish his full permanent and local address (Head office and Branch Office) in the bid document along with the name of nodal person for this project along with Phone No., Fax No., Mobile No. and e-mail address. If any letter is sent at the given address by Fax or email or by post does not reach him or returns undelivered, it will be deemed to have reached to the bidder, once the letter is posted in post office, sent by email or sent through fax.

27. **LIST OF DOCUMENT ATTACHED WITH TECHNICAL BID:**

The bidder should enclose the list of documents as specified in this RFP.

28. **FORCE MAJEURE CLAUSE:**

Department will not be responsible for any delay / stoppage of work due to any reasons like force majeure conditions like natural calamities, civil disturbances, strike, war etc. and losses suffered, if any, by the Chartered Accountant/Cost Accountant firm on this account. SUDA/Department shall not be liable in any way to bear such losses and no compensation of any kind whatsoever will be payable by the SUDA to the Chartered Accountant/Cost Accountant firm.

29. LEGAL MATTERS

All legal matters shall be subject to the jurisdiction of law of courts at Ranchi, Jharkhand only.

30. DURATION OF THE ASSIGNMENT

The duration of the assignment shall be 02 Years (24 Months).

31. OTHER TERMS AND CONDITIONS

31.1 The Chartered Accountant/Cost Accountant firm shall abide by the instructions issued by the Department/ SUDA to him from time to time for the timely completion of the assigned services.

32.2 Any entity which has been barred by the Central Government, any State Government, a statutory authority or a public sector undertaking, as the case may be, from participating in any project, and the bar subsists as on the date of Proposal, would not be eligible to submit a Proposal either by itself or through its Associate (if association permitted in RFP).

32.3 An Applicant Firm or its Associate should have, during the last three years, neither failed to perform on any agreement, as evidenced by imposition of a penalty by an arbitral or judicial authority or a judicial pronouncement or arbitration award against the Applicant Firm or its Associate, nor been expelled from any project or agreement nor have had any agreement terminated for breach by such Applicant Firm or its Associate.

32.4 While submitting a Proposal, the Applicant Firm should attach clearly marked and referenced continuation sheets in the event that the space provided in the specified forms in the Appendices is insufficient. Alternatively, Applicant Firms may format the specified forms making due provision for incorporation of the requested information.

32.5 No Applicant Firm shall submit more than one Application for the same.

Section-2

TERM OF REFERENCE

TOR FOR CHARTERED ACCOUNTANT/COST ACCOUNTANT FIRMS

1. INTRODUCTION :

1.1 The objective of internal audit is to provide management with an independent, objective and professional assessment that implementing entity's internal control systems are operating satisfactorily. Internal audit will provide project management with information on financial risk management and controls to enable the management to take timely corrective actions, wherever necessary. The internal auditor would recommend cost-effective methods for strengthening controls to prevent or detect significant financial irregularities or losses due to insufficient attention to economy, efficiency and effectiveness in the use of project funds. One of the many facets of improved good urban governance is maintaining of complete set of accounting records to ensure accountability and transparency in all government functions.

1.2 The national reforms agenda for the urban sector includes reforms in Urban Sector accounting practices and strengthening of financial discipline. As a step in this direction, it is proposed to introduce a system of Internal Audit. Internal audit will assist in improving the accountability of used funds and provide a deterrent to malpractice or mismanagement.

2. The internal auditors will work in close coordination with the technical supervision consultants to obtain assurance that the fiduciary controls in contract management are in place and are operating as intended. The SPMG & SUDA will ensure that the work of internal auditors is duly considered by the external auditors when planning the scope of their audit examination.

3. SCOPE OF SERVICES/ WORK

Auditor has to cover the following activity during internal audit of SUDA and SPMG Cell accounts:

3.1 Internal audit should play a role in assisting management in bringing a systematic, disciplined approach to evaluate and improve the effectiveness of the internal control system. In conducting the audit, special attention should be paid to assessing whether adequate controls have been established and complied with to ensure:

3.1.1 All project funds have been used in accordance with the conditions of the relevant legal agreements/ Work plan and only for the purposes for which the financing was provided;

3.1.2 Project assets are adequately safeguarded and used solely for their intended purposes; and

3.1.3 All necessary supporting documents, records, and accounts have been kept in respect of all project transactions; including expenditures reports.

- 3.2 The internal audit will include such tests and controls as the Internal Auditor considers necessary under the circumstances. Specific areas of coverage of the internal audit will include the following: -
- 3.2.1 An assessment of the effectiveness of and degree of compliance with the financial controls laid down in the Finance Manual and Procurement Manuals. Whether funds have been used with due regard to economy, efficiency and effectiveness and for the purposes for which they were provided.
 - 3.2.2 Timeliness of flow funds to the spending units.
 - 3.2.3 Whether the selection criteria for EAs as documented in the “Implementation Arrangements for the Program” have been assessed by SPMGs and complied with in selection of EAs.
 - 3.2.4 Whether there is appropriate documentation of check measurement/inspection of works by EA as agreed and documented by SPMG at the time of EA selection;
 - 3.2.5 Whether contract payments have been made as per the terms of the contract. In doing so the auditors should consider the reports of the technical supervision consultants.
 - 3.2.6 Whether an appropriate system of accounting and financial reporting exists by which expenditures are properly recorded and eligible expenditures are claimed from the Bank in a timely manner. Whether adequate supporting documentation is being maintained for all project expenditures
 - 3.2.7 Whether an adequate system is in place to ensure that goods, works and services are being procured in accordance with guidelines prescribed in the Procurement Manual.
 - 3.2.8 Whether there is an appropriate contract management system commensurate to the size and nature of the sub-project executed by the EAs. Similarly, whether there is an appropriate contract management system commensurate the size and number of contracts managed by the SUDA/SPMG. Whether payments are being made to contractors/suppliers/consultants within the time limits stipulated in the contract documents.
 - 3.2.9 Whether appropriate controls as laid down in the FM/Procurement Manual are complied with for variation in contracts.
 - 3.2.10 Whether Bank balances are reconciled with the books by the SPMG and SUDA.
 - 3.2.11 All Receipts and Payment to be brought to account
 - 3.2.12 Grant related compliance
 - 3.2.13 Internal auditor shall also report on presence or absence of a system of issuance of utilization certificate for the different schemes for any utilization made during the reporting period; where there is no system for

issuance of UCs, the Internal Auditor report shall prepare Utilization Certificate for various schemes/grants as per the guidelines of such scheme.

- 3.2.14 Internal Auditor should report instances of losses, failures or inefficiencies and recommendations and/or measures which can be taken to avoid their recurrence in future.
- 3.2.15 Internal Audit shall cover all the payment related to contracted works, purchase bills, advances refund of all kind of work related deposits, all kinds of consultancy fees and contingent bill according to the rules and regulation.
- 3.2.16 Auditor will ensure in each payment that terms & conditions of tenders and rate offers should be according to procurement law and policies.
- 3.2.17 Auditor will ensure that Expenditure incurred is within the Budget provision allocated to particular head and prepare a monthly report of head wise budgeted amount, expended amount and balance amount.
- 3.2.18 Auditor will ensure that all the expenditure is advised for payment only after the process of internal audit.
- 3.2.19 Auditor will prepare monthly report containing list of all the unpaid bills and missing bill.
- 3.2.20 Auditor will ensure that all the sanctioned advances should be internal audited and then advised for payment to disbursement officer.
- 3.2.21 Auditor will ensure that all the security deposit and earnest money deposited in tender/agreement process should be deposited in the bank immediately. Similarly refund of these security deposit and earnest money deposit should be made in time.
- 3.2.22 In case of loss of assets, auditor will access the loss and Prepare a statement of loss and the responsible officer/employee.
- 3.2.23 Auditor will ensure that all kind of tax deduction i.e. GST, Income tax, provident fund etc. Should be deducted from the payments as applicable, deposited properly and also should be properly recorded in appropriate ledgers.
- 3.2.24 Auditor will ensure preparation of annual Budget.
- 3.2.25 Auditor will prepare bank reconciliation statement monthly with separate reporting on bank deposit and interest earned.
- 3.2.26 Auditor will prepare the reply of queries raised by local fund auditors/A.G. Office/CAG. etc.
- 3.2.27 Auditors shall ensure that all the observation and findings during the course of internal audit should be furnished monthly/quarterly/yearly to SUDA including detailing about the compliance reports with pending reports etc.

3.2.28 Finalization of annual Books of Accounts.

3.2.29 Any other areas/reporting/certification as may be required and directed by SUDA.

It is expected that the selected Internal Audit Firm shall follow Standards on Internal Audit guidelines issued by Institute of CA Firms/Cost Accountant firms of India. (ICAI).

4. ACTIVITIES BASED ON SCOPE OF WORK:

With reference to the scope of work following activities is desired to meet the goal:-

- 4.1 The internal auditor shall also ensure that the resolution of Governing Body, which violates rule or guideline etc., the same shall be immediately brought to the notice of the Director, SUDA.
- 4.2 The internal auditor should be well conversant with Jharkhand Municipal Act, 2011, Jharkhand Municipal Accounts manual & Rules, NGRBA Framework with all the schemes/guidelines/circulars, standing instructions, orders issued from time to time by SUDA/UD&HD.
- 4.3 Objections, if any, shall be raised at single point right in the beginning. The bills will be passed only after compliance of all the points raised by the internal auditor. However, raising fresh queries on the same bill in its subsequent presentation shall be avoided. The internal auditor should present a summary of objections raised at to the SUDA regularly on a monthly basis.
- 4.4 It will be the responsibility of the internal auditor to carry out fast, prompt, accurate and correct internal audit.
- 4.5 The internal auditor will make a power point presentation quarterly to **Director SUDA** or Officer designated by him in the Office about the findings and the work done by them during the particular quarter. The presentation should mention the no. of Bills checked the number of bills in which irregularities are found, details thereof, the person responsible for that, time taken in checking the Bills etc.
- 4.6 The internal audit should be carried out independently without any pressure from any of the offices. It may be clearly noted that for the purpose of internal audit, the auditors will be appointed directly by SUDA/Department and shall be accountable to SUDA/Department. The internal audit work should be carried out in an objective, impartial and fair manner.
- 4.7 The appointment of internal auditor will be made from the date of awarding the contract and the work of internal audit will start from the date mentioned in the letter of awarding the contract.
- 4.8 The internal auditor shall carry out the assignment in accordance with the highest standard of professional and ethical competence and integrity as prescribed by the Code of Conduct and Code of the Institute of Chartered Accountants of India, New Delhi, having due regard to nature and purpose of the assignment, and shall ensure that the personnel assigned to perform the services under this Agreement, will conduct themselves in a manner consistent herewith.
- 4.9 The internal auditor shall certify on all bills/vouchers that such bills/vouchers are fit for payment.
- 4.10 Any other areas/reporting/certification as may be required and directed by SUDA/UD&HD.

5. DUTIES AND RESPONSIBILITIES :

As per the scope defined above following methodology is to be carried by the CA /Cost Accountant firms. Working structure and attendance of the firm appointed:-

5.1 Working at SUDA/SPMG :-

5.1.1 Minimum of 3 member team should be deployed which consist of :

- i 1 CA /Cost Accountant as Team leader.
- ii 1 CA /Cost Accountant as Audit Manager.
- iii 1 CA Inter/ Costing Inter/Commerce Graduate qualified staff as Audit Assistant.

5.1.2 Daily visit of 1 staff – Audit Assistant inclusive of 2 days visit of Audit Manager in a week with finalization of internal audit observation and must be present with daily attendance records at SUDA. Team leader also be called in case of any time in a week if required.

5.1.3 Auditors shall submit the Monthly/Quarterly/Yearly reports pertaining to internal audit reporting formats to SUDA. followed by format as required by this department.

6. AUDIT REPORT :

6.1 Quarterly Audit Report/ Annual Audit Report including Utilization certificate for various schemes should be structured as prescribed in Annexure-2

6.2 Utilization certificate on cumulative basis for various schemes e.g. NAMAMI GANGE, AMRUT, SBM & Other schemes as may be required during the period of audit.

6.3 The Auditor should report the minor irregularities; wrong calculations etc. to the Director, SUDA immediately after detection so that the same may be get rectified on the spot.

6.4 All reports and documents shall be submitted to SUDA/UD&HD should be duly signed by partner/proprietor of the firm. (Hard copy as well as soft copy in PDF format).

7. DELAYS IN THE PERFORMANCE

7.1 Timely submission (within one month from the end of Quarter) of the report as per the provision mentioned in the agreement.

7.2 In case of delay in the implementation of the project and/or any delay in performance during the contract period, the Internal Auditor shall be liable to any or all of the following actions:

- (i) Imposition of Penalty.
- (ii) Forfeiture of performance guarantee.
- (iii) Termination of the Contract for default.

7.3 If at any time with respect to commencement of the project as required during performance of contract the Internal Auditor may face difficulties impeding timely completion of the project under the contract and/or performance of services, the Internal Auditor shall promptly inform the department in writing of the fact of the delay within 24 hours and its causes and likely duration.

7.4 As soon as practicable, after receipt of the Internal Auditor notice, the department shall assess the situation and may at its discretion extend the time for commencement and/or performance with or without Liquidated Damages.

8. PENALTY

8.1 In the event of failure of the implementation of the project by the Internal Auditor as per the provision mentioned in the agreement, the Department reserves the option to recover liquidated damages, and not by way of penalty, for late implementation from the Internal Auditor in the following manner:-

S.No.	Details of delay	PENALTY to be charged
(i)	For delay upto 25% of the implementation period	2.5% of the Proposal price
(ii)	For delay of more than 25% and upto 50% of the implementation period	5% of the Proposal price
(iii)	For delay of more than 50% and upto 75% of the implementation period.	7.5% of the Proposal price
(iv)	For the delay more than 75% of the implementation period	10% of the Proposal price (maximum)

8.2 The aforesaid chargeable penalty, if not paid by the Internal Auditor, would be recoverable under the relevant provisions of Public Damage Recovery Act 1914 by the Department.

9. ACKNOWLEDGEMENTS BY APPLICANT FIRM

9.1 It shall be deemed that by submitting the Proposal, the Applicant Firm has made a complete and careful examination of the RFP;

9.2 Received all relevant information requested from the Department;

9.3 Acknowledged and accepted the risk of inadequacy, error or mistake in the information provided in the RFP or furnished by or on behalf of Department;

9.4 Satisfied itself about all matters, local conditions, things and information, etc. necessary and required for submitting an informed Application and performance of all of its obligations there under;

- 9.5 Agreed to be bound by the undertaking provided by it under and in terms hereof.
- 9.6 Department shall not be liable for any omission, mistake or error on the part of the Applicant Firm in respect of any of the above or on account of any matter or thing arising out of or concerning or relating to RFP or the Selection
- 9.7 Process, including any error or mistake therein or in any information or data given by Department.

10. NO CLAIM ARRANGEMENTS

- 10.1 The Internal Auditor shall not be entitled to make any claim, whatsoever, against the department, under by virtue of or arising out of this contract, nor shall the department entertain or consider any such claim, if made by the Internal Auditor and Firm shall have to sign a "no claim" certificate in favor of the department in such forms as shall be required by the department after the expiry of the agreement.

11. QUALITY STANDARDS

- 11.1 **Standards:** The Internal Auditor under this agreement shall conform to the accounting standards& Internal Audit Standards shall be maintained.
- 11.2 **Standard of Performance:** The Internal Auditor shall carry out the services and carry out its obligations under the agreement with due diligence, efficiency and economy in accordance with generally accepted norms.

12. CORRUPT PRACTICES

- 12.1 Department is a public service department and requires to serve honestly, diligently and timely. The Internal Auditor would be the assisting agency of the Department; therefore, he is also required to maintain highest standards of honesty and ethics.
- 12.2 The Internal Auditor is advised to refrain from the corrupt and fraudulent practices during the execution of the contract. Corrupt and fraudulent practices are defined as follows:-

“Corrupt Practice” means behaviour of Internal Auditor including his personnel, by which they improperly and unlawfully enrich themselves and/or those close to them,

or

Induce others to do so, by misusing the position in which they are placed, and it includes the Proposing, giving, receiving, or soliciting of anything of value.

- 12.3 “Fraudulent Practice” means a misrepresentation of facts in order to influence, and collusive practices of the Internal Auditor.

13. DETAILS TO BE KEPT CONFIDENTIAL

13.1 The Internal Auditor shall treat the details of the agreement as private and confidential, save in so far as may be necessary for the purposes thereof, and shall not publish or disclose the same or any particulars thereof in any trade or technical paper or elsewhere without the prior consent in writing of the department.

If any dispute arises as to the necessity of any publication or disclosure for the purpose of the agreement the same shall be referred to the Secretary, Urban Development and Housing Department, whose decision shall be final.

10.2 The Internal Auditor or his representative should neither disclose the data nor sale the data or use it for commercial exploitation or research work without the written permission of the Secretary, Urban Development and Housing Department.

14. TRANSFER OF RIGHTS

14.1 The selected Internal Auditor shall not transfer the agreement or part of the agreement to anybody.

15. DECISIONS AND INTERPRETATION

15.1 Except where otherwise specifically stated, the office designated by Urban Development and Housing Department, Government of Jharkhand will decide the agreed matter between the department and the Internal Auditor and the matter shall be referred to the *Principal Secretary/Secretary, Urban Development and Housing Department*, whose decision would be final and binding on both the parties.

15.2 In case of dispute over the interpretation of any clause of agreement, decision of *Principal Secretary/Secretary, Urban Development and Housing Department* shall be final and binding.

16. SUSPENSION

16.1 The Department may, by a written notice to the Internal Auditor, suspend the agreement if the Internal Auditor fails to perform any of its obligations under this agreement, including the carrying out of the services. Provided that such notice of suspension:

(2) Shall specify the nature of the failure, and

(ii) Shall direct the Internal Auditor to rectify such failure within a specified period from the date of receipt of such notice of suspension.

16.2 No payment shall be made to the Internal Auditor for such suspended period and no damage shall be claimed on account of this suspension.

17. DISQUALIFICATION

- 17.1 Department, in its sole discretion and at any time during the processing of Proposals, may disqualify any Applicant Firm from the Proposal process, if:
- 17.1.1 Firms not meeting eligibility criteria.
 - 17.1.2 Firms made misleading or false representations in the forms, statements and attachments submitted in proof of the eligibility requirements.
 - 17.1.3 If found to have record of poor performance such as abandoning works, not properly completing the agreement, inordinately delaying completion, being involved in litigation or financial failures, etc.
 - 17.1.4 Submitted Proposal which is not accompanied by required documents is non-responsive.
 - 17.1.5 Failed to provide clarifications related thereto, when sought.
 - 17.1.6 Submitted more than one Bid for same package and use similar key person in more than one package. This will cause disqualification of all Bids submitted by such applicants.
 - 17.1.7 Bidders, who are found to canvass, influence or attempt to influence in any manner the qualification of selection process, including without limitation, by Proposing bribes or other illegal gratification shall be disqualified from the process at any stage.

18. TERMINATION OF THE CONTRACT

- 18.1 The department shall have a right to cancel the agreement if the Internal Auditor commits breach of any condition. Breach of agreement include, but are not limited to, the following:
- 18.1.1 It is found that the time schedule of implementation of the scheme is not being adhered to,
 - 18.1.2 The Internal Auditor stops work & such stoppage has not been authorized by the Urban Development and Housing Department.
 - 18.1.3 The Internal Auditor may become bankrupt or goes into liquidation,
 - 18.1.4 The department gives notice to correct a particular defect/irregularity and the Internal Auditor fails to correct such defects/irregularity within a reasonable period of time determined by the department,
 - 18.1.5 In case the Internal Auditor fails to carry out the instructions/orders issued by the department from time to time during the currency of the agreement and fails to comply with the laws applicable in the State.

18.1.6 The Internal Auditor fails to deliver any or all of the obligations within the time period(s) specified in the agreement, or any extension thereof granted by department.

18.1.7 The Internal Auditor fails to perform any other obligation(s) under the agreement.

18.2 Because of breach of agreement by the Internal Auditor for any of the above reasons, the department shall have the right to terminate the agreement and forfeit the security deposit and invoke the performance bank guarantee.

19. CESSATION OF RIGHTS AND OBLIGATIONS

19.1 Upon termination of the agreement, or upon expiry of this agreement, all rights and obligations of such parties hereunder shall cease, except:

19.1.1 Such rights and obligations as may have accrued on the date of termination or expiry.

19.1.2 The obligation of confidentiality set forth.

19.2 Any right which a party may have under the applicable law.

20. CESSATION OF SERVICES UPON TERMINATION

20.1 Upon termination of the agreement, the Internal Auditor shall, immediately upon dispatch or receipt of such notice, take all necessary steps to bring the services to a close in a prompt and orderly manner.

21. DISPUTE RESOLUTION/ARBITRATION

21.1 The Department and the Internal Auditor shall make every effort to resolve amicably by direct negotiations, any disagreement or dispute, arising between them under agreement.

21.2 If after 30 days from the commencement of such direct negotiations, the dispute is not resolved it shall be referred to Secretary, Urban Development and Housing Department, Jharkhand, where decision shall be final and binding upon both parties.

21.3 Pending the submission of and/or decision on a dispute, difference or claim or until the matter is decided by Secretary, Urban Development and Housing Department, Jharkhand the Internal Auditor shall continue to perform all its obligations under this agreement without prejudice of final adjustment in accordance with such award.

21.4 The Department may terminate this agreement, by giving a written notice of termination of minimum 30 days, to the Internal Auditor, if the Internal Auditor fails to comply with any decision delivered by Secretary, Urban Development and Housing Department, Jharkhand.

22. RE-APPOINTMENT OF AUDITOR:

As the auditor once appointed can continue for two more years, subject to the satisfaction of the performance by the state and the State which wishes to re-appoint the same auditor shall have to seek the approval of the appropriate authority after obtaining the consent of the auditor and confirming that the said firm is in the panel of C&AG and eligible for conducting audits for the year for which firm is being re-appointed. Further, any comments/remarks/ observation of the Ministry in this regard shall have to be considered while re-appointing the same auditor.

23. PAYMENT

Payment to the IA shall be made on the Quarterly basis.

FORM FOR TECHNICAL BID

Form T - 1

Request letter

To,
Director
State Urban Development Agency(SUDA)
Urban Development and Housing Department
Govt. of Jharkhand

Dear Sir/Madam,

We, the undersigned, offer to provide the Internal auditing services for..... [Insert title of assignment] in accordance with your Request for Proposal dated..... [Insert Date]. We are hereby submitting our Proposal, which includes this Technical Proposal, and a Financial Proposal sealed under a separate cover.

We are submitting our Proposal in individual capacity without entering in association with or as a Consortium. We hereby declare that all the information and statements made in this Proposal 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 Proposal, i.e., before the date indicated in the Data Sheet, we undertake to negotiate on the basis of the proposed personnel. Our Proposal is binding upon us and subject to the modifications resulting from Contract negotiations.

We undertake, if our Proposal is accepted, to initiate the consulting services related to the assignment not later than the date indicated in the Data Sheet (Please indicate date). We understand you are not bound to accept any Proposal you receive.

We remain,

Yours sincerely,

(Signature of authorized signatory of
Chartered/Cost Accountant Firm and
seal)

Form T - 2

BIDDER DETAILS

1	Name of Firm	
2	Date of incorporation of the Firm	
3 (a)	Address of bidder	
(b)	Phone no:	
(c)	Fax no.	
(d)	E mail	
(e)	Website	
4(a)	Name of authorized signatory to bid	
(b)	Designation	
(c)	Phone (Landline) Phone (Mobile)	
(d)	Fax	
(e)	Email	
5	PAN of Firm	
6	GST No	
7	ICAI/ICWAI Empanelment/	
8	Name, address, Tel No. Fax, email at which communication to be sent in	
9	Names of the present Proprietors/ Partners/Board of Directors	

(Signature of authorized signatory of Chartered/Cost Accountant Firm and seal)

Form T - 3

1. Assignment Undertaken for the last five years

A. Urban Local Bodies (ULBs) Experience Only (Please attach the supporting document for each experience)

Sl. No.	Name of the Assignment	Agreement No./Work order No. & Date	Name of the Client	Professional Fees	Was the Assignment successfully completed (with date)
A	B	C	D	E	F

B. Departments of State/Central Government/PSUs/Other Govt. Undertaking Experience (Please attach the supporting document for each experience)

Sl. No.	Name of the Assignment	Agreement No./Work order No. & Date	Name of the client/ Office	Professional Fees	Was the Assignment successfully completed (with date)
A	B	C	D	E	F

(Signature of authorized signatory of Chartered/Cost Accountant Firm and seal)

Note: Please attach copies of the work order/contract issued by competent authority from the client/ work compilation certificate in support of documentary proof in proper indexing.

Form T - 4

The qualification & Competence of the personnel proposed for the assignment (Team Leader, Audit Manager and Audit Assistant). (Please also enclose the supporting documents i.e Experience Certificate and Educational Certificate of each experience and CV of all person required for the assignment)

Sl. No.	Name of the person concerned	Academic Qualifications	Post – Qualification Experience in the respective field	Total Years of experience including all Sectors	Remarks
1	2	3	4	5	6
1					
2					

(Signature of authorized signatory of Chartered/Cost Accountant Firm and seal)

Form T - 5

FORMAT OF CURRICULUM VITAE (CV) FOR PROPOSED KEY STAFF (Team Leader, Audit Manager and Audit Assistant)(Please enclosed the supporting documents)

1. Proposed Position:

2. Name of Staff :.....

3. Date of Birth :.....

4. Nationality :.....

5. Relevant Educational Qualification with passing year:

6. Membership of professional societies:

7. Publications:

8. Employment Record:

(List all positions held by staff member since graduation, giving dates, names of employing organization, title of positions held and location of assignments. For experience period of specific assignment must be clearly mentioned along with certificate for the Team Leader, Audit Manager and Audit Assistant).

9. Summary of the CV

(Furnish a summary of the above C V. The information in the summary shall be precise and accurate. The information in the summary will have bearing on the evaluation of the CV.)

9.1 Education:

(i) Education Qualification along with passed out year.

(ii) Field of Graduation and passed out Year .

(iii) Field of post-graduation/ Professional and passed out year.

(iv) Any other specific qualification

9.2 Experience

(i) Total Post qualification experience:Years.

(ii) Experience in Urban Development Sector post qualification:Years.

(iii) Years of Experience in other Govt. Department/ PSU/Bank etc post qualification: Years

(iv) Total Experience:Years

9.3 Permanent Employment with the Firm (Yes/No):

If yes, how many years:

If no, what is the employment:

Arrangement with the firm

Certification:

1. I am willing to work on the project and I will be available for entire duration of the project assignment and I will not engage myself in any other assignment during the agreement of his assignment on the project.
2. I, the undersigned, certify that to the best of my knowledge and belief, this bio-data correctly describes myself, my qualification and my experience.

Signature of the Candidate

Place

Date

Signature of the Authorised Representative of the firm

Place

Date

Note:	Each page of the CV shall be signed in ink by both the staff member and the Authorized Representative of the firm. Photocopies will not be considered for evaluation. The experience Certificates and Educational Certificates need to be provided along with this CV.
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Form T- 6

FINANCIAL STRENGTH OF THE CHARTERED/COST ACCOUNTANT FIRM

Year	Turnover (Rs. in Lakhs)
2017-18	
2018-19	
2019-20	

Note:- Pl. attach Audited financial statement for respective years.

(Signature of authorized signatory of Chartered/Cost Accountant Firm and seal)

This is to certify that the above mentioned information has been examined by us on the basis of relevant documents, books of accounts & other relevant information and the information submitted above is as per record.

(Signature, address, Seal & Membership No. of CA Firms/Cost Accountant firms)

Form T - 7

AFFIDAVIT

I, S/o Director/proprietor of M/s having its registered office at do hereby solemnly affirm and declare as follows:

1. That I have been authorized to execute this affidavit on behalf of this Chartered/Cost Accountant Firm.
2. That the Urban Development and Housing Department, Government of Jharkhand vide advertisement published in had invited Proposals from Chartered/Cost Accountant Firm for
3. That in response to the said advertisement as stated in paragraph (2) above, our firm has submitted its proposal to the Urban Development and Housing Department, Government of Jharkhand.
4. That the proposals of our firm M/s containing necessary information and particulars furnished as per given Performa, detailing therein :
 - a. Firm's general experience in the field of assignment / work.
 - b. The qualification and Competency of the personnel for the assignment.
5. That our firm have neither failed to perform on any contract, as evidenced by imposition of a penalty by an arbitral or judicial authority or a judicial authority or a judicial pronouncement or arbitration award against our firm, nor our firm have been expelled from any project or contract by any public authority nor have had any contract terminated by any public authority for breach of our part.
6. That our firm during the last three years, neither failed to perform on any agreement, as evidenced by imposition of a penalty by an arbitral or judicial authority or a judicial pronouncement or arbitration award against us.

That the statements made in paragraph 1 to 6 of the foregoing affidavit as above are true to my knowledge and belief and if anything is found contrary, I stand liable to be prosecuted under appropriate Act / laws in force.

Solemnly affirmed by the said at on this the day of 2020.

Deponent :

Identified by me

Form for Financial Bid

FORM FIN-1

[Location, Date]

NAME OF THE ASSIGNMENT:(To be filled by the Chartered/Cost Accountant Firm)

To,
Director
SUDA
Urban Development and Housing Department
Govt. of Jharkhand

Dear Sir /Madam,

We, the undersigned, offer to provide the consulting services for [Insert name of Assignment] in accordance with your RFP dated [Insert Date] and our Technical Proposal. Our attached Financial Proposal is for the sum of Rs..... (In word.....) This amount is exclusive of the applicable GST.

Our Financial Proposal shall be binding upon us subject to the modifications resulting from Contract negotiations, up to expiration of the validity period of the Proposal, i.e. before the date indicated in the Data Sheet.

No fees, gratuities, rebates, gifts, commissions or other payments have been given or received in connection with this Proposal.

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

Yours sincerely,

(Signature of authorized signatory of
Chartered/Cost Accountant Firm and seal)

FORM FIN-2

DETAILS COST

Project Title: Selection of Chartered Accountant /Cost Accountant firms for Internal Audit in SUDA and SPMG of Jharkhand.

(Amount in INR)

S. No.	Name of Cell	Quarterly Audit Fees(Excluding GST)	No. of Quarters	Total Amount per annum(Excluding GST)	Total Amount for two years (Excluding GST)
1	SUDA Directorate				
2	SPMG Cell				
Total Amount					

(Signature of authorized signatory of Chartered/Cost Accountant Firm and seal)

Form F - 1

Certificate as to Corporate/ Firm Principal

I Certify that I am the authorized representative of the Firm/Corporation/Company, set up under the laws of and that (Name and Designation) who signed the above tender is authorized to bind the corporation by authority of its governing body.

(Signature of authorized signatory of Chartered/Cost Accountant Firm and seal)

Form F-2
CERTIFICATE

I undertake to abide by the terms and conditions as laid down in the Proposal documents by this Department and also follow the instructions given by the Department (to be read with Terms and Conditions).

Signature :

Name of the person :
with Designation

Name of the Firm :

FORM- 3

PERFORMANCE BANK GUARANTEE

The State Urban Development Agency, Urban Development and Housing Department, Government of Jharkhand has invited bids for appointing a Chartered/Cost Accountant Firm for (Name of the project)..... in the State of Jharkhand.

M/s.submitted their proposal with reference to the said bid. The Urban Development and Housing Department, Government of Jharkhand has since decided to award the contract to M/s.vide their letter of intent no. dated.....directing M/s.to submit Performance Bank Guarantee of Rs.

M/s. has requested us to furnish above bank guarantee valid uptoConsidering the request, we..... do hereby undertake to pay to the Urban Development and Housing Department, Government of Jharkhand an amount not exceeding Rs. lakhs on demand by The Urban Development and Housing Department, Government of Jharkhand in case of failure of M/s.....in fulfilling the obligations properly and timely under the said contract.

We do hereby undertake to pay the amount payable under this guarantee without demur, merely on a demand from The Urban Development and housing Department, Government of Jharkhand. Any such demand made on the bank shall be conclusive as regards the amount due and payable by the bank under this guarantee.

Our liability under this guarantee shall be restricted to an amount not exceeding Rs.lakhs. This guarantee would remain in full force up to..... Unless the demand as claim under this guarantee is made on us in writing on or before....., we shall be discharged from all liabilities under this guarantee thereafter.

We undertake to pay unconditionally to The Urban Development and Housing Department, Government of Jharkhand any money so demanded and our liability under this guarantee being absolute and unequivocal. The payment so made by us under this bond shall be a valid discharge of our liability from payment there under and M/s.shall have no claim against us making such payment.

This guarantee will not be discharged due to the change in the constitution of the Bank or Chartered/Cost Accountant Firm.

We undertake not to release this guarantee during its currency except with prior consent of The Urban Development and Housing Department, Government of Jharkhand in writing.

“Notwithstanding anything herein contained; our liability under this Guarantee shall:

Be limited to a sum of Rs..... (Rupees.....) only.

Stand completely discharged and all our rights under this guarantee shall stand extinguished, if no claim or demand is made upon us in writing on or before

Date.....

Signature for and on behalf of Bank

ANNEXURE 1: CHECKLIST

Preliminary Checklist for Bidders for Qualification Criteria

- A. All the forms as mentioned in the table below have to be submitted by the firm in order to qualify in qualification criteria.

S. No.	Document
1	RFP Document Fee, (If downloaded from the site)
2	EMD (As asked in RFP)
3	Certificate of Incorporation /Empanelment with ICWAI and ICAI (As asked in RFP)
4	Declaration of not being blacklisted / debarred
5	Audited Balance Sheet for last 3 years (As asked in RFP)
6	Auditor certified Profit Loss Statement for last 3 years
7	Annual Turnover Certificate (As asked in RFP)
8	All Technical Forms (Form TECH 1 to TECH 7, including work experience in form of completion certificates)
8.1	FORM TECH – 1
8.2	FORM TECH – 2(Pl. enclose relevant supporting documents)
8.3	FORM TECH – 3(Pl. enclose relevant supporting documents)
8.4	FORM TECH – 4(Pl. enclose relevant supporting documents)
8.5	FORM TECH – 5(Pl. enclose relevant supporting documents)
8.6	FORM TECH – 6(Pl. enclose relevant supporting documents)
8.7	FORM TECH – 7
9	Financial Form
9.1	FIN – 1
9.2	FIN – 2
10	GST Registration No(Pl. enclose relevant supporting documents)
11	PAN (Pl. enclose relevant supporting documents)
12	Form F 1
13	Form F 2

ANNEXURE-2

Internal Audit Report(SUDA),

for the period from _____ to _____

Internal Audit conducted by

(Write names of Auditors)

Report Issued on _____

Introduction

Executive Summary

- Name of the Department/Cell/Directorate
- Period covered under current audit
- Name of Director, SUDA

Results and Findings

- *Strengths observed during the audit engagement.*
- *Weaknesses in the functioning of office, maintenance of records etc. Observed during the audit engagement.*
- *The comments under the set of categories should summarize each significant Audit observation in the order of materiality. The summary should be as brief as possible and draw on the observations under the Para on Consequence/Effect/ Impact of each Audit observation.*
- **Opinion**
- *Over all opinion of Audit Team about the functioning of SUDA/SPMG.*

Audit Recommendations

- *There commendations of Audit Team on the observed weaknesses. This could be presented in a box of highlighted print.*

Comments from Management

- *This should also include local management's action plan for resolution of the issues and compliance to the internal auditor's recommendations and suggestions on the areas of process and control weakness/ deficiency.*

Detailed Audit Report

1. Introduction

The Internal audit of SUDA covering the period from _____ to _____ was conducted by following persons under guidance of Chartered/Cost Accountant Firm_:

- i. Shri _____
- ii. Shri _____

2. Administration

The present administration of SUDA/SPMG has taken charge on _____.
The incumbency in the key administrative and executive positions was as under:

Shri _____, Director From _____ to _____.

3. Review of outstanding audit paras: Status of Audit Observations is as under:

S. No	Particulars of audit and date of report	Total No. of Audit Paras.	Total No. of Audit Paras where necessary improvement /corrective measure is required	Total No of Audit Paras where recovery of cash is proposed	Total No. Of Audit Paras where recover has been made	Total Amount of Recovery	Total No. of outstanding para where no action has been taken	No.& dated of compliance report
1.								

4. Finance

I. Budgetary provisions and expenditure for the last three years.

Year	20 xx	20 xx	20 xx
Fund Available			
Actual Expenditure			
Balance			

II. Volume of transactions

Period	Budgeted	Previous Year (For one year)	Corresponding Period of Previous Year	Current Period	Cumulative for the current Year
Opening balance					
Receipts					
Total					
Net expenditure					
Closing balance					

III. Bank reconciliation

(Instructions: Simply write "Reconciled and balances tallied" if reconciliation done satisfactorily. Report the difference in balances where they differ).

IV. Receipts

Period	Budgeted	Previous Year (For one year)	Corresponding Period of Previous Year	Current Period	Cumulative for the current year

5. **Audit Observations**

- A. Non-maintenance of books of accounts, subsidiary registers.
- B. Irregularity in procurement process
- C. Non-compliance of directives by UD&HD, GoJ
- D. Non-compliance of Act & Rules
- E. Lack of internal control measures
- F. Non-compliance of TDS, VAT and other relevant Statute
- G. Deficiency in pay-roll system
- H. Utilization of Grant and report on missing Utilization Certificates
- I. Physical verification of inventory/stores
- J. Advances, their adjustment & recovery
- K. Any other matters as may be prescribed in due course.

I. Part-C

Audit Objective:

Criteria:

Condition:

Consequence/Effect/Impact:

Cause:

Corrective Action/Recommendation:

References: Internal Audit Report.

-xxx-