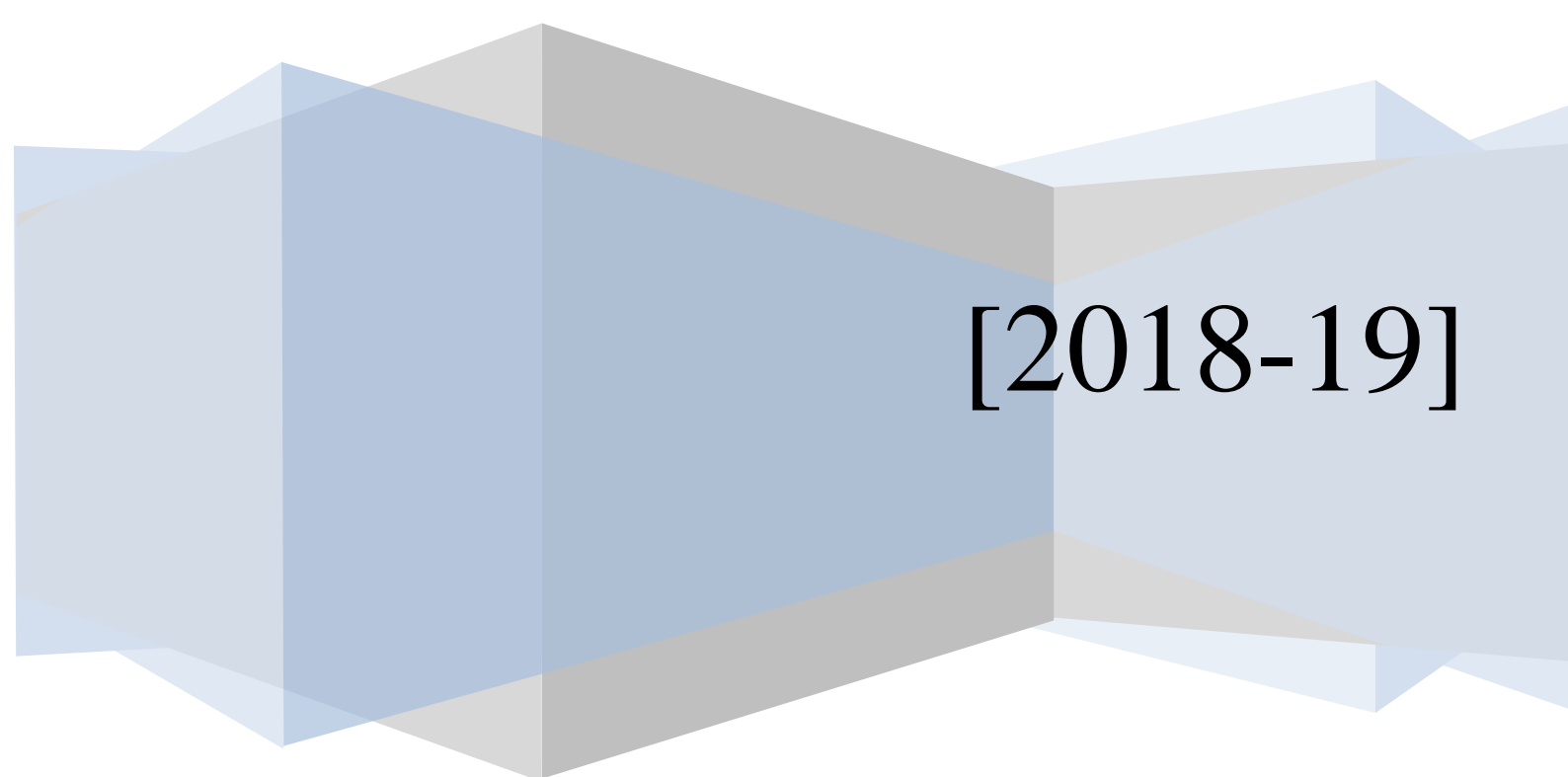


Request for EoI

**For Appointment of Statutory Auditor for
TEQIP-III Institutions and SPIU for Audit of
Technical Education Quality Improvement
Programme-III
(For the Financial Year 2018-19)**



[2018-19]

Hiring of CA Firm for Statutory Audit (2018-19)

Request for Expression of Interest

The Government of India has applied for/availed a credit/loan from International Development Associate (IDA), and the international bank for reconstruction and development (IBRD) and intends to apply part of the loan/credit proceeds to make payments under the contract for the services.

Country: India

Project name: Technical Education Quality Improvement Programme [TEQIP]- phase-III

State Project Implementation Unit, Uttar Pradesh (SPIU-UP) seeks to invite proposal from CAG empanelled CA firms meeting the minimum eligibility criteria for providing their services for the Statutory Audit for the financial year 2018-19 of TEQIP Institutions and SPIU Uttar Pradesh under the TEQIP-III.

Hiring on Statutory Auditor

The **Technical Education Quality Improvement Programme [TEQIP]- phase-III** Project now engaging eligible CAG empanelled CA firm to indicate their interest in providing the services. A CA firm will be selected in accordance with the procedures set out, in the World Bank's Guidelines. Interested CA Firm may submit "Expression of Interest" on www.spiuup.org and www.npiu.nic.in or before 05.00 pm dated 19.04.2019 and also necessarily submit hard copy in a sealed envelope clearly superscripted as Expression on Interest for "**Hiring of Statutory Auditor**" and may obtain further information about the services, procedures for submitting the EOI etc. On www.spiu.org and www.npiu.nic.in Audit Firm may associate other service providers to enhance their qualifications/skills. Hard copy of Expressions of Interest must be delivered to the office of SPIU-UP on or before 05.00 pm dated 19.04.2019.

METHOD OF HIRING OF SERVICES OF CA FIRM : Consultant's Quality Based Selection (CQS)
Credit.IDA: Cr. 4685-0 IN

Expression of Interest:

The Government of India has received a Credit 4685-IN from the International development Association and it is intended that part of the proceeds of this credit will be applied to eligible payments under the contracts for **Technical Education Quality Improvement Programme [TEQIP]- phase-III**.

The service includes: **HIRING OF CA FIRM FOR STATUTORY AUDIT BY SPIU-UP FOR TEQIP-III PROJECT INSTITUTES, ATU AND SPIU-UP AND CONSOLIDATED STATUTORY AUDIT REPORT (2018-19)**.

Consulting Services: Hiring of Statutory Audit Firm.

Brief description: Hiring of internal Auditor for Internal Audit of TEQIP-III project institutions (16), ATU (1), SPIU (1) and consolidated Statutory Audit report (1).

Organisation: SPIU, Uttar Pradesh

Implementation Period: **30 days from the Award of contract.**

Scope and Area of Work:

1.	Bundelkhand Institute of Engineering Technology, Jhansi
2.	Dayalbagh Educational Institutions, Dayalbagh, Agra
3.	Faculty of Engineering Technology, MJP Rohilkhand University, Bareilly
4.	Institute of Engineering Technology, Bundelkhand University, Jhansi
5.	Institute of Engineering Technology, Dr BR Ambedkar University, Agra
6.	Institute of Engineering Technology, Faizabad
7.	Institute of Engineering Technology, Lucknow
8.	Harcourt Butler Technical University, Kanpur
9.	Kamla Nehru Institute of Technology, Sultanpur
10.	Madam Mohan Malviya University of Technology, Gorakhpur
11.	Rajkiya Engineering College, Ambedkar Nagar
12.	Rajkiya Engineering College, Azamgarh
13.	Rajkiya Engineering College, Banda
14.	Rajkiya Engineering College, Bijnor
15.	Uma Nath Singh Institute of Technology, VBS Purvanchal University, Jaunpur
16.	Uttar Pradesh Textile Technology Institute, Kanpur
17.	Dr APJ Abdul Kalam Technical University, Lucknow
18.	State Project implementation unit, Uttar Pradesh
19.	Consolidated Statutory Report of TEQIP-III, Uttar Pradesh

At present the following Programmes/schemes fall under the Technical Education of Ministry of HRD. The third phase of the technical Education Quality Improvement programme is composed of the following components and sub-components.

Sub-component 1.1: Institutional development Grants to Government and Government-aided Institutes.

Sub-component 1.2: Widening Impact through ATUs in LIS and SCS

Sub-component 1.3: Well performing institutions/ATUs under twinning arrangement.

The SPIU, Uttar Pradesh now invites eligible CAG empanelled CA firm to indicate their interest in providing information indicating that they are qualified to perform the services (brochures, description of the similar assignments, experience in similar conditions, availability of appropriate skills among staff, etc.) A consultant will be selected in accordance with the procedures set out in the World Bank Guidelines.

Short-listing Criteria :

1. The organization's average annual turnover should not be less than Rs 25 Lakh per annum during the last three years.
2. The organization should have minimum 4 regular employees working on.
3. The organization should have completed at least three projects of similar nature in past five years.
4. The organization should have relevant experience in geographical region.
5. The audit firms must be empaneled with the C&AG and eligible for major audits.

Details of minimum criteria of eligibility in tabular form are as follows:

Sl. No.	Particulars*	Minimum Criteria
1.	Number of Full Time Partners associated with the firm for not less than 3 years with at least one being a Fellow CA (As per Certificate of ICAI as on 1.1.2009 & latest+)	4
2.	Turnover of the firm (Average annual in last three financial yrs.)	Minimum Rs.25 Lakhs
3.	No. of Years of Firm Existence as on 01.04.2019	5 Yrs.
4.	No. of assignments of Statutory Audit of Corporate/PSUs entities except Bank Branch Audit having a turnover of not less than Rs 25 crores in the last 3 years.	4
5.	No. of assignments: Experience of audit of Externally Aided Projects/ Social Sector Projects (other than Audit of Charitable Institutions & NGOs) in the last 3 years..	4

Supporting Documents for Eligibility Criteria: Following supporting documents must be submitted by the firm along with the technical proposal:

- i. For S. No. 1 above, the firm must submit an attested copy of Constitution Certificate of ICAI as on 1.1.2009 and latest.
- ii. For S. No. 2, the firm must submit, a copy of the balance sheet for the last three years.
- iii. For S. No. 4 & 5, the firm must submit a copy of the appointment letters from the auditee organizations. Branch Audit of any Bank shall not be considered while taking into account the total number of assignments.

- iv. The firm or any partners of the firm should not be black listed by any PSUs or Govt. Co. or any other organization in respect of any assignment or behavior. [Self-attested **affidavit on Rs.100/- stamp paper** to be given in this regard by the authorized person of the firm]. **Marking Criteria:**

S.No	Evaluation Criteria	Maximum Marks
1	Number of Partners	
2	Presence of the firm the Project State.	
3	Number of professionally Qualified staff	
4	Turnover for the last five years	
5	Number of Audit and similar assignments undertaken during last 5 years	
6	Number of EAP/World Bank Project Audits (Undertaken during the last 5 years)	

Interested consultants, if they so desire, may obtain information about the services, procedures for submitting the EOI etc. from:

Nodal Officer (Finance)
State Project Implementation Unit
(SPIU), 401-402,4th Floor, Academic
Block,AKTU Campus Sector 11,
Jankipuram Extension,
Lucknow-226031

Expressions of Interest must be submitted in sealed envelope **clearly superscripted as Expression of Interest for Hiring of Statutory Auditor and delivered to the address mentioned above by 05:00 P.M on 19.04.2019.**

Letter of Transmittal

To,
State Project Administrator
State Project Implementation Unit (SPIU),
401-402, 4th Floor, Academic Block, AKTU Campus
Sector-11, Jankipuram Extension, Lucknow-226031

Dear Sir,

We, the undersigned, offer to provide the audit services for [Name of Auditee] in accordance with your Expression of Interest dated [Insert Date]. We are hereby submitting our Proposal.

We are submitting our Proposal in association with (Name of Firm). 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.

We understand that the firm or any partners of the firm should not be black listed by any PSUs or Govt. Co. or any other organization in respect of any assignment or behavior. **[Self-attested affidavit on Rs.100/- stamp paper to be given in this regard by the authorized person of the firm].**

We understand that subletting award of audit work to the other CA Firms other than to who allotted will not be entertained. Such cases if brought into notice/found at any point of time before/after selection the concerned firms will be deferred from bidding process for next 3 years and contract will be cancelled with penalty.

We agree to bear all costs incurred by us in connection with the preparation and submission of the proposal and to bear any further pre-contract costs.

We understand that State [Insert Name of the Auditee] is not bound to accept the any proposal or to give any reason for award, or for the rejection of any proposal.

I confirm that I have authority of [Insert Name of the C.A. Firm] to submit the proposal and to negotiate on its behalf.

Yours faithfully