



Bid Number/बोली क्रमांक (बिड संख्या):
GEM/2024/B/5260218
Dated/दिनांक : 07-08-2024

Bid Document/ बिड दस्तावेज़

Bid Details/बिड विवरण	
Bid End Date/Time/बिड बंद होने की तारीख/समय	17-08-2024 13:00:00
Bid Opening Date/Time/बिड खुलने की तारीख/समय	17-08-2024 13:30:00
Bid Offer Validity (From End Date)/बिड पेशकश वैधता (बंद होने की तारीख से)	180 (Days)
Ministry/State Name/मंत्रालय/राज्य का नाम	Uttar Pradesh
Department Name/विभाग का नाम	Basic Education Department Uttar Pradesh
Organisation Name/संगठन का नाम	Uttar Pradesh Education For All Project (upefa)
Office Name/कार्यालय का नाम	Lucknow
Item Category/मद केटेगरी	Financial Audit Services - Review of Financial Statements, Financial Reporting Framework, Audit report; CAG Empaneled Audit or CA Firm
Contract Period/अनुबंध अवधि	1 Year(s)
Minimum Average Annual Turnover of the bidder (For 3 Years)/बिडर का न्यूनतम औसत वार्षिक टर्नओवर (3 वर्षों का)	50 Lakh (s)
Years of Past Experience Required for same/similar service/उन्हीं/समान सेवाओं के लिए अपेक्षित विगत अनुभव के वर्ष	3 Year (s)
Past Experience of Similar Services required/इसी तरह की सेवाओं का पिछला आवश्यक अनुभव है	Yes
MSE Exemption for Years of Experience and Turnover/ अनुभव के वर्षों से एमएसई छूट	No
Startup Exemption for Years of Experience and Turnover/ अनुभव के वर्षों से स्टार्टअप छूट	No
Document required from seller/विक्रेता से मांगे गए दस्तावेज़	Experience Criteria,Bidder Turnover,Certificate (Requested in ATC) *In case any bidder is seeking exemption from Experience / Turnover Criteria, the supporting documents to prove his eligibility for exemption must be uploaded for evaluation by the buyer
Bid to RA enabled/बिड से रिवर्स नीलामी सक्रिय किया	No

Bid Details/बिड विवरण

Type of Bid/बिड का प्रकार	Two Packet Bid
Time allowed for Technical Clarifications during technical evaluation/तकनीकी मूल्यांकन के दौरान तकनीकी स्पष्टीकरण हेतु अनुमत समय	2 Days
Estimated Bid Value/अनुमानित बिड मूल्य	1600000
Evaluation Method/मूल्यांकन पद्धति	Total value wise evaluation
Financial Document Indicating Price Breakup Required/मूल्य दर्शाने वाला वित्तीय दस्तावेज ब्रेकअप आवश्यक है	Yes

EMD Detail/ईएमडी विवरण

Advisory Bank/एडवाइजरी बैंक	State Bank of India
EMD Amount/ईएमडी राशि	11000

ePBG Detail/ईपीबीजी विवरण

Required/आवश्यकता	No
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(a). EMD EXEMPTION: The bidder seeking EMD exemption, must submit the valid supporting document for the relevant category as per GeM GTC with the bid. Under MSE category, only manufacturers for goods and Service Providers for Services are eligible for exemption from EMD. Traders are excluded from the purview of this Policy./जेम की शर्तों के अनुसार ईएमडी छूट के इच्छुक बिडर को संबंधित केटेगरी के लिए बिड के साथ वैध समर्थित दस्तावेज प्रस्तुत करने हैं। एमएसई केटेगरी के अंतर्गत केवल वस्तुओं के लिए विनिर्माता तथा सेवाओं के लिए सेवा प्रदाता ईएमडी से छूट के पात्र हैं। व्यापारियों को इस नीति के दायरे से बाहर रखा गया है।

(b). EMD & Performance security should be in favour of Beneficiary, wherever it is applicable./ईएमडी और संपादन जमानत राशि, जहां यह लागू होती है, लाभार्थी के पक्ष में होनी चाहिए।

Beneficiary/लाभार्थी :

State Project Director
Lucknow, Basic Education Department Uttar Pradesh, Uttar Pradesh Education for All Project (UPEFA) ,
(Spd, Samagra Shiksha Elementry Education, Lucnow, Uttar Pradesh)

Splitting/विभाजन

Bid splitting not applied./बोली विभाजन लागू नहीं किया गया

MII Compliance/एमआईआई अनुपालन

MII Compliance/एमआईआई अनुपालन	Yes
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1. The minimum average annual financial turnover of the bidder during the last three years, ending on 31st March of the previous financial year, should be as indicated above in the bid document. Documentary evidence in the form of certified Audited Balance Sheets of relevant periods or a certificate from the Chartered Accountant / Cost Accountant indicating the turnover details for the relevant period shall be uploaded with the bid. In case the date of constitution / incorporation of the bidder is less than 3-year-old, the average turnover in respect of the completed financial years after the date of constitution shall be taken into account for this criteria.
2. Years of Past Experience required: The bidder must have experience for number of years as indicated above in bid document (ending month of March prior to the bid opening) of providing similar type of services to any Central / State Govt Organization / PSU. Copies of relevant contracts / orders to be uploaded along with bid in support of having provided services during each of the Financial year.
3. Estimated Bid Value indicated above is being declared solely for the purpose of guidance on EMD amount and for determining the Eligibility Criteria related to Turn Over, Past Performance and Project / Past Experience etc. This has no relevance or bearing on the price to be quoted by the bidders and is also not going to have any impact on bid participation. Also this is not going to be used as a criteria in determining reasonableness of quoted prices which would be determined by the buyer based on its own assessment of reasonableness and based on competitive prices received in Bid / RA process.
4. Past Experience of Similar Services: The bidder must have successfully executed/completed similar Services over the last three years i.e. the current financial year and the last three financial years(ending month of March prior to the bid opening): -
 1. Three similar completed services costing not less than the amount equal to 40% (forty percent) of the estimated cost; or
 2. Two similar completed services costing not less than the amount equal to 50% (fifty percent) of the estimated cost; or
 3. One similar completed service costing not less than the amount equal to 80% (eighty percent) of the estimated cost.

Additional Qualification/Data Required/अतिरिक्त योग्यता /आवश्यक डेटा

Number of Years of firm/company's existence as per ICAI certificate:As per ATC

Number of years of experience as on date of which at least XX years should be in internal/external audit of companies, PSUs and centrally funded institutions.:As per ATC

Number of full-time partners/experienced and qualified professionals in full time employment at senior level with experience in handling similar or relevant projects:As per ATC

Number of partners/ qualified professionals in full time employment with DISA/CISA qualification:As per ATC

Number of XX fulltime CA's required and YY professional audit staff:As per ATC

Price Breakup Format for the bidders to upload for providing break-up of overall project cost:[1723014348.pdf](#)

This Bid is based on Quality & Cost Based Selection (QCBS) . The technical qualification parameters are :-

Parameter Name	Max Marks	Cutoff Marks	Qualification Methodology Document
As per ATC	100	70	View File

Total Minimum Qualifying Marks for Technical Score: 70

QCBS Weightage(Technical:Financial):80:20

Pre Bid Detail(s)

Pre-Bid Date and Time	Pre-Bid Venue

12-08-2024 12:00:00

Sarva Shiksha Abhiyaan (SSA), State Head Office, Vidhya Bhawan, Balda Colony, Nishatganj, Lucknow

Financial Audit Services - Review Of Financial Statements, Financial Reporting Framework, Audit Report; CAG Empaneled Audit Or CA Firm (1)**Technical Specifications/तकनीकी विशिष्टियाँ**

Specification	Values
Core	
Scope of Work	Review of Financial Statements , Financial Reporting Framework , Audit report
Type of Financial Audit Partner	CAG Empaneled Audit or CA Firm
Type of Financial Audit	Internal Audit
Category of Work under Financial Audit	Audit of financial statements , Internal control of financial , Investigating fraud , Compliance with law & regulations , Compliance with contracts , Risk Management , Review system & processes , Bank Transactions
Type of Industries/Functions	Purchase & Procurement , Payables , Receivables , Operational & Administrative , Cash and Bank Balance , Human Resource & Payroll
Frequency of Progress Report	Weekly
MIS Reporting for Financial Audit support	Yes
Frequency of MIS reporting	Weekly
State	NA
District	NA
Addon(s)/एडऑन	
Post Financial Audit Support	Yes

Additional Specification Documents/अतिरिक्त विशिष्टि दस्तावेज़**Consignees/Reporting Officer/परेषिती/रिपोर्टिंग अधिकारी**

S.No./क्र. सं.	Consignee Reporting/Officer/परेषिती/रिपोर्टिंग अधिकारी	Address/पता	To be set as 1	Additional Requirement/अतिरिक्त आवश्यकता

S.No./क्र. सं.	Consignee Reporting/Officer/ परेषिती/रिपोर्टिंग अधिकारी	Address/पता	To be set as 1	Additional Requirement/अतिरिक्त आवश्यकता
1	Jeevendra Singh Airy	226007,U.P. Education For All Project Board Vidhya Bhawan, Nishat Ganj Lucknow - 226007	1	<ul style="list-style-type: none"> Number of Months for which Post Audit Support is required : 6

Buyer Added Bid Specific Terms and Conditions/क्रेता द्वारा जोड़ी गई बिड की विशेष शर्तें

1. Generic

OPTION CLAUSE: The buyer can increase or decrease the contract quantity or contract duration up to 25 percent at the time of issue of the contract. However, once the contract is issued, contract quantity or contract duration can only be increased up to 25 percent. Bidders are bound to accept the revised quantity or duration

2. Buyer Added Bid Specific Scope Of Work(SOW)

File Attachment [Click here to view the file.](#)

Disclaimer/अस्वीकरण

The additional terms and conditions have been incorporated by the Buyer after approval of the Competent Authority in Buyer Organization, whereby Buyer organization is solely responsible for the impact of these clauses on the bidding process, its outcome, and consequences thereof including any eccentricity / restriction arising in the bidding process due to these ATCs and due to modification of technical specifications and / or terms and conditions governing the bid. If any clause(s) is / are incorporated by the Buyer regarding following, the bid and resultant contracts shall be treated as null and void and such bids may be cancelled by GeM at any stage of bidding process without any notice:-

1. Definition of Class I and Class II suppliers in the bid not in line with the extant Order / Office Memorandum issued by DPIIT in this regard.
2. Seeking EMD submission from bidder(s), including via Additional Terms & Conditions, in contravention to exemption provided to such sellers under GeM GTC.
3. Publishing Custom / BOQ bids for items for which regular GeM categories are available without any Category item bunched with it.
4. Creating BoQ bid for single item.
5. Mentioning specific Brand or Make or Model or Manufacturer or Dealer name.
6. Mandating submission of documents in physical form as a pre-requisite to qualify bidders.
7. Floating / creation of work contracts as Custom Bids in Services.
8. Seeking sample with bid or approval of samples during bid evaluation process. (However, in bids for [attached categories](#), trials are allowed as per approved procurement policy of the buyer nodal Ministries)
9. Mandating foreign / international certifications even in case of existence of Indian Standards without specifying equivalent Indian Certification / standards.
10. Seeking experience from specific organization / department / institute only or from foreign / export experience.
11. Creating bid for items from irrelevant categories.
12. Incorporating any clause against the MSME policy and Preference to Make in India Policy.
13. Reference of conditions published on any external site or reference to external documents/clauses.

14. Asking for any Tender fee / Bid Participation fee / Auction fee in case of Bids / Forward Auction, as the case may be.

Further, if any seller has any objection/grievance against these additional clauses or otherwise on any aspect of this bid, they can raise their representation against the same by using the Representation window provided in the bid details field in Seller dashboard after logging in as a seller within 4 days of bid publication on GeM. Buyer is duty bound to reply to all such representations and would not be allowed to open bids if he fails to reply to such representations.

This Bid is governed by the [General Terms and Conditions/सामान्य नियम और शर्तें](#), conditions stipulated in Bid and [Service Level Agreement](#) specific to this Service as provided in the Marketplace. However in case if any condition specified in General Terms and Conditions/सामान्य नियम और शर्तें is contradicted by the conditions stipulated in Service Level Agreement, then it will over ride the conditions in the General Terms and Conditions.

In terms of GeM GTC clause 26 regarding Restrictions on procurement from a bidder of a country which shares a land border with India, any bidder from a country which shares a land border with India will be eligible to bid in this tender only if the bidder is registered with the Competent Authority. While participating in bid, Bidder has to undertake compliance of this and any false declaration and non-compliance of this would be a ground for immediate termination of the contract and further legal action in accordance with the laws./जेम की सामान्य शर्तों के खंड 26 के संदर्भ में भारत के साथ भूमि सीमा साझा करने वाले देश के बिडर से खरीद पर प्रतिबंध के संबंध में भारत के साथ भूमि सीमा साझा करने वाले देश का कोई भी बिडर इस निविदा में बिड देने के लिए तभी पात्र होगा जब वह बिड देने वाला सक्षम प्राधिकारी के पास पंजीकृत हो। बिड में भाग लेते समय बिडर को इसका अनुपालन करना होगा और कोई भी गलत घोषणा किए जाने व इसका अनुपालन न करने पर अनुबंध को तत्काल समाप्त करने और कानून के अनुसार आगे की कानूनी कार्रवाई का आधार होगा।

---Thank You/धन्यवाद---

REQUEST FOR PROPOSAL (RFP) FOR APPOINTMENT OF CA FIRM/LLP AS INTERNAL AUDITOR OF SAMAGRA SHIKSHA (ELEMENTARY EDUCATION) FOR FINANCIAL YEAR 2023-24

STATE PROJECT OFFICE, SAMAGRA SHIKSHA (ELEMENTARY EDUCATION), VIDYA BHAWAN,
NISHAT GANJ, LUCKNOW-226007(UP).

Tel No. 0522-4024507, 4024596 E-mail upefaspo@gmail.com, website-www.upefa.com

Section-1 [Details of RFP]

- **Samagra Shiksha (Sarva Shiksha Abhiyan), UP invites bid on GeM portal from reputed and competent Chartered Accountants Firms for Internal Audit of State project office, ancillary institutions and 75 districts.**

1. INTRODUCTIONS: मानव संसाधन विकास मंत्रालय, भारत सरकार, नई दिल्ली द्वारा निर्गत समग्र शिक्षा (प्रा०शि०) के मैनुवल-2018 में चैप्टर-5 के पैरा 5.10.4 में निहित प्रावधान के अनुसार "The internal audit of SPO and District Project Coordinator Offices shall be carried out every year. Internal audit of Schools is conducted on a percentage basis, so as to cover 5 per cent of schools in each district. It should be ensured in the internal audit that the prescribed accounting system including regular bank reconciliation is strictly followed by all."

The state implementing Society registered under the societies Registration Act 1860(21of 1860) is responsible for the maintenance of proper accounts and other relevant records, as well as preparing annual accounts comprising the receipts and payment accounts, Income and Expenditure Accounts and Balance Sheet in such a form as may be prescribed by the registrar of societies in keeping with the rules in force under the said act and as well as FM&P Manual issued by MHRD, GOI.. Accordingly, it is mandatory that internal audit should be done in house or by Chartered Accountants firms.

2. Samagra Shiksha (Elementary Education), UP invites bid on GeM portal from reputed and competent Chartered Accountants Firms for Internal Audit of State Project Office (Head Office), 75 DPOs,/DIETs/BRCs/5%SMCs and all KGBVS as per TOR of SSA for the financial year 2023-24. SPO has desired four clusters and one CA firm will be engaged for one cluster. For carrying out this work minimum fee for each cluster including post audit services will be Rs. 4,00,000/-(Excluding GST). The appointment will be initially for a period of one year i.e. for financial year 2023-24 which can be extended for further period of two years on the basis of satisfactory services and mutually agreed terms. No bid shall be accepted other than on GeM Portal.

3. Scope of work:

The scope of internal audit will be as per T.O.R. of Samagra Siksha enclosed in RFP.

4- In conducting the internal audit, special attention should be paid to the following:

1. Ensure that the accounting and financial management systems remain reliable and effective in design and to assess the extent to which they are being followed;
2. Review the efficacy, adequacy and application of accounting, financial and operating controls and thereby ensure the accuracy of the books of accounts;
3. Verify that the system of internal check is effective in design and operation in order to ensure the prevention of and early detection of defalcations, frauds, misappropriations and misapplications;
4. Identify areas of significant inefficiencies in existing systems and suggest necessary remedial measures;
5. That adequate records are maintained regarding the assets created and assets acquired by the project, including details of cost, identification and location of assets; and that the physical verification of assets is being carried out with due diligence.

निविदादाताओं द्वारा निम्नलिखित शर्तों एवं नियमों के अन्तर्गत अपनी निविदा प्रस्तुत की जाएगी। निविदादाताओं का चयन निम्नलिखित शर्तों के आधार पर किया जाएगा :-

5. ELIGIBILITY CRITERIA:-

Chartered Accountants Firms/LLP must qualify the following minimum criteria:-

S.No	Particulars	Description	Supporting Documents to be upload only
1	Years of establishment of the firm	The firm must have completed at least 20 years of it's establishment as on date 01.12.2023	Registration certificate of the firm issued by the Institute of Chartered accountants of India. Information related to year of establishment of Head Office (s) & Branch office(s), Addresses, contacts, details of Partners and their membership nos. etc. as Indicated in the Certificate must be enclosed.
2	Firm must have Head office in Lucknow(UP)	It is expected that the team working on this project /assignment is based in Uttar Pradesh	Declaration on letter head, that the team will be based in Lucknow (UP) and address of the Head office. Should be mentioned with complete correspondence details.

3	No. of partners in the Firms	Should have at least 5 FCA with minimum 5 years of experience as on 01.12.2023	Registration certification of the firm/individuals, issued by the Institute of Chartered Accountants of India as Indicated in the Certificate must be enclosed.
4	Experience of the firm in Internal audit of Govt./PSU/Autonomous Body during the three F.Y.	Firm must have experience of minimum 5 Internal audits of Govt. /PSU/ Autonomous Body, during the recent three F.Y. (2020-21, 2021-22, 2022-23)	Copies of appointment letter of assignment and relevant pages of the contract agreements alongwith T.O.R. and completion certificates during the recent three F.Y. (2020-21, 2021-22, 2022-23) must be enclosed. Turnover certificates of the auditee must be enclosed.
5	Average Turnover of the participants/firms in three Financial Years	During F.Y. (2020-21, 2021-22, 2022-23) with minimum average Turnover of 50 lakh per annum & minimum Rs. 40 lakh each year.	Copies of the audited annual accounts of the firm for the F.Y. (2020-21, 2021-22, 2022-23) must be enclosed.
6	The firm should be empanelled in C&AG for audit.	CAG empanelment Certificates	Copies of CAG empanelment Certificates for audit for financial year 2022-23 must be enclosed.
7	Other	Valid PAN , Valid GSTIN Registration, ITR, Valid peer review certificate, No Criminal Proceedings are pending w.r.t the Firm and/or Partner in any Court of Law in India or before any Disciplinary Committee of ICAI/ ICAI (Erstwhile I C W A I)/ I C S I or any other professional institutes/ bodies.	Copy of PAN Card Partnership Deed, Valid peer review certificate Copy of Registration Certificate GSTN Certificate Affidavit.

Supporting documents for eligibility criteria:-

1. The firm/LLP must submit a self-attested copy of certificate of Institute of Chartered Accountants of India with respect to its constitution.
2. The firm must submit a copy of the Audited balance sheet and Accounts, ITR for the last three financial years as mentioned.
3. The firm shall submit a declaration for number of years in existence and certificate from ICAI with respect to its constitution.
4. The firm must submit a copy of the appointment letters from the audited organisations and annual reports evidencing the turnover of the audited organisations. Any firm/LLP not qualifying these minimum criteria need not apply and their proposal shall be summarily rejected.
5. Last participant of Internal/Statutory audit for Samagra Siksha (E.E.) are not eligible.

6. Method of selection:

Method of selection	The method of selection is: Quality-cum- Cost Based Selection (QCBS). Bidders, whose bids are responsive, based on minimum qualification criteria / documents as in Pre-Qualification Criteria and score at least 70% in the (given) defined scoring mechanism would be considered technically qualified. The Bidder shall be selected on the basis of QCBS Method, whereby technical proposal will be allotted weightage of 80% and financial proposal will be allotted weightage of 20%
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7. EVALUATION CRITERIA FOR SELECTION OF INTERNAL AUDITORS:-

7.1- QCBS Document Elaborating Detailed QCBS Criteria:

(i) Technical Qualification Criteria

- I. Only those bidders who qualify all Pre-Qualification/Minimum Eligibility Criteria requirements shall be qualified for technical bid evaluation.
- II. The buyer reserves the right to reject a Service in case the offered service does not match the technical requirements/ objectives specified in Technical Bid – Buyer’s Requirements.
- III. The technical bid shall first be reviewed for determining the Compliance of the Technical bids with the RFP terms and conditions, Minimum/ mandatory Technical requirements, and the scope of work as defined in this RFP.
- IV. Any bid found to be non-compliant to the mandatory Technical Requirements, RFP terms, conditions, and work scope shall be rejected and shall not be considered for further evaluation. Bids that are technically compliant would only be taken up for commercial evaluation.
- V. Bidder is required to submit all the supporting documents as per the criteria mentioned in the RFP. However, Buyer reserves the right to summarily reject any bid which does not contain all the mandatory supporting document or may ask the bidder to resubmit documents, the decision of Buyer shall be final and binding in this regard.
- VI. A score would be given to each bidder by Tender Committee based on the scoring criteria.
- VII. Bids that are technically qualified would only be taken up for financial / commercial evaluation.
- VIII. Buyer reserves the right to disqualify any bidder based on any relevant criteria, and its decision is final.
- IX. The Bidder should submit following documents as a documentary proof:
Firm should submit Copy of Work Order / Contract Agreement and any document justifying the completion of the assignment from the client.

- X. The buyer reserves the right to renegotiate any terms (Price / Technical) further with the successful Bidder.
- XI. Technical Bids shall then be evaluated for the following broad parameters. The Bidders should have the following criteria for participating in the tender. The Bidders should enclose documentary evidence for fulfilling the following Evaluation Criteria. The technical committee consisting of members from State department will evaluate the bidders those who had qualified in the previous Minimum Eligibility criteria/Pre-Qualification Criteria.

The committee will evaluate the qualified bidders as per the criteria set below:

7.2. EVALUATION CRITERIA FOR SELECTION OF INTERNAL AUDITORS: -

a) TECHNICAL EVALUATION :-

The evaluation criteria for selecting the auditor are mentioned below:-

<u>Sr. No.</u>	<u>Evaluation Criteria</u>	<u>Maximum Marks</u>
1.	Number of partners (Partners should necessarily be a member of Institute of Chartered Accounts of India) (3 marks for each FCA partner and 2.0 Mark for ACA Partner)	15
2	The firm has adequate staff to undertake work. The staffs include Audit clerks and semi-qualified personnel. The Marking shall be: 1-4 staff (2 marks) 5-10 staff (4 marks) 11-15 staff (6 marks) More than 15 staff (10 marks).	10
3	Number of professionally qualified staff (with associate/fellow membership of ICAI/ICWA: 1-2 staff (2 marks) 3-5 staff (4 marks) 5-10 staff (6 marks) More than 10 staff (10 marks).	10
4	Turnover for last three years of the firm/LLP More than Rs. 40 lacs and up to 50 lacs per annual – 4 marks for each year. More than Rs. 50 Lacs per annum: - 5 marks for each year.	15
5	Number of Assignment undertaken during the last 5 years in Govt/semi govt. organizations/Corporations/PSUs/Nigams (whose average budget is more than Rs. 50 crore in the last 5 years) Assignment Order of budget 50-100 cr. (2 marks), 100-200 cr. (3 marks), 200-400 cr. (4 marks), More than 500 cr. (5 marks).	30
6	Adequacy and quality of the proposed methodology and work plan. (Notes to Consultant/firms that the will assess whether the proposed methodology is clear, responds to the TORs, work plan is realistic and implementable; overall team composition is balanced and has an appropriate skill mix; and the work plan has right input of experts).	20
Total Marks = ST (Score Technical)		100

The minimum qualifying mark is 70% on technical evaluation. Minimum Technical score of 70% may be relaxed by the State Project Director so that sufficient number of firms may qualify for financial evaluation. The discretion of SPD in this regard shall be final.

7.3. Evaluation Criteria of Technical Bid

- a. The Technical Evaluation would be done for only those bidders, who comply with the pre-qualification criteria mentioned in – Minimum Eligibility Criteria/Pre-Qualification Criteria.
- b. Quality and Cost based Selection (QCBS) -- 80:20 (Technical: Commercial).
- c. Only those bids which have a minimum technical score of 70% of total marks as in table above shall be considered qualified. However, the Buyer reserves the right to lower the minimum required marks.
- d. The score of the Service Providers will be given by buyer or a committee constituted by Buyer organization. The Buyer will provide marks and submit in the GeM system.
- e. The Bidder has to submit the clarifications / additional particulars through GeM portal within the time limit mentioned in the tender document. The Bidder's offer will be disqualified, if the clarifications / additional particulars sought are not submitted within the specified date and time.

7.4. Evaluation of financial/commercial bids (As per Commercial Bid Template)

- a. Commercial bids submitted by only those bidders, who have qualified both pre-qualification and Technical evaluation, shall be eligible for further evaluation.
- b. Only those Service Providers that have achieved at least minimum qualifying technical score (ST) (70% in this case) will be treated as qualified and only their financial proposals will be opened.
- c. The commercial Bids of the technically qualified bidders shall then be opened on the notified date and time as on the GeM Portal.
- d. Commercial Bids that are not as per the provided format shall be liable for rejection.
- e. If same marks/rank obtained by two Firm(s) after combined evaluation then the proposal with the highest technical score will be ranked higher and the next technical score will be ranked lower. Further, if technical score is also equal of two or more firms, then their candidature shall be determined upon the Firm which has higher experience. Experience will be calculated from the year of establishment of the firm till 01.12.2023
- f. If Bidder quotes NIL charges, the bid shall be treated as unresponsive and shall not be considered for evaluation.

7.5. Selection of Bidder - The Selected bidder shall not be declared till the detailed commercial bid is not evaluated. During the evaluation if the Purchaser finds that the detailed commercial bid is not in order or incomplete etc. then Purchaser shall treat the bid as non-viable and same shall be rejected, and EMD shall be forfeited. In such case next ranked bidder shall be considered for further evaluation and so on till a bidder is selected.

a. If any bidder withdraws his bid, at any stage after the submission of the bid, till the final evaluation or declaration of the final selected bidder, it shall be declared a defaulting bidder and EMD of such defaulting bidder shall be forfeited and Purchaser reserves right to blacklist such bidders for next three years from participating in any Purchaser's tender. In such situation the tendering process shall be continued with the remaining bidders as per their ranking.

b. If the bidder backs out after being declared as selected bidder, it shall be declared a defaulting bidder and EMD of such defaulting bidder shall be forfeited and Purchaser reserves right to blacklist such organization for next three years from participating in any Purchaser Tender. In such case the detailed commercial bid of next ranked commercial bidder shall be evaluated.

c. Next ranked commercial bidder also backs out then Purchaser shall complete the tender process by following the same process again for other remaining commercial ranked bidders.

7.6. FINANCIAL EVALUATION:-

The formula for determining the financial scores (FS) is as below:-

$FS=100 \times FM/FP$ where FS is financial score, FM is the lowest price quoted by any firm/LLP and FP is the price quoted by the respective firm. The weights given to the Technical and financial proposal are:-
 $T= 0.8$ and $F=0.2$

Total of all the score= $ST \times 0.8 + FS \times 0.2$

8. Projected no. of man days required to carry out the whole assignment-

For each district one chartered accountant and 4 audit staff are allowed to complete the audit within 5 days.

9. PERIODICITY OF INTERNAL AUDIT:-

The Internal Auditor shall conduct internal audit on yearly basis and submit audit report within 15 days from end the of the audit.

10. REPORTING:-

The Internal Auditor should report to the SPD Samagra Siksha (E.E.) any serious weakness, significant fraud or Major accounting breakdown discovered during the normal course of audit.

The manner and intervals in which the internal audit shall be conducted and Reported to the SPD Samagra Siksha (E.E.) shall also be in compliance with the Act of GOI and other applicable statutory norms and Provisions.

11. Rejection of RFP

a) Samagra Shiksha (E.E.) will examine the applications to determine whether they are complete, have been properly signed, and whether the offer is generally in order. Any incomplete offer shall not be entertained and rejected without assigning any reason thereof.

b) Any application received by Samagra Shiksha (E.E.) after the scheduled closing date and time will not be accepted.

12. Confidentiality

During the tenure of this engagement and within three years after its expiration, you should not disclose any proprietary or confidential information relating to the Services, this engagement or Samagra Shiksha's (E.E.) operations without the prior written consent from the Authorities of Samagra Shiksha (E.E.).

13-Payment Terms-

- a) Invoice for 100% of the Professional Fees, T.A, D.A, & other claims if any, should be submitted after submission of final Audit Report and payable on the basis of actual days worked. All the Invoices should be GST compliant. The report should be submitted along with the Executive summary of the Critical issues/ findings that require attention of the SPD Samagra Siksha (E.E.). The Final Audit report should be submitted in duplicate. A soft copy (**In email**) of the said Internal Audit Report is also to be submitted at the time of submission of the hard copy of the same. Separate invoices should be raised for fees for professional services and for reimbursement of T.A / D.A etc.
- b) Once the report/process/assignment has been approved at the competent level the selected bidder shall submit an invoice and supporting documents to the buyer. The buyer shall have the right to verify the invoice along with supporting documents.
- c) Based on the verification, the Buyer shall make all efforts to make payments to the Bidder within 45 days of receipt of invoice(s) and all necessary supporting documents.

- 12
- d) All Payments shall be made in Indian Rupees Only. All payments agreed to be made by Buyer to the Bidder in accordance with the Bid shall be inclusive of all statutory levies, duties, taxes, and other charges whenever levied / applicable.
 - e) Bidder shall perform all the activities related to the Samagra Shiksha, Lucknow communicated by the Buyer/ Client. No extra payment/ invoice shall be generated for that work.
 - f) In the event of Buyer noticing at any time that any amount has been disbursed wrongly to the Bidder or any other amount is due from the Bidder to the Buyer, the Buyer may without prejudice to its rights recover such amounts by other means after notifying the Bidder or deduct such amount from any payment falling due to the Bidder. The details of such recovery, if any, will be intimated to the Bidder.
 - g) The Bidder shall receive the payment of an undisputed amount under the subsequent invoice for any amount that has been omitted in the previous invoice by mistake on the part of the Buyer or the Bidder.
 - h) All payments to the Bidder shall be subject to tax deductions at source under Income Tax Act, other taxes, and deductions as provided for under any law, rule, or regulation. In addition, all costs, damages, or expenses which Buyer may have paid or incurred, for which under the Contract's provisions, the Bidder is liable, Buyer shall deduct the same from any dues to the Bidder. All payments to the Bidder shall be made after making necessary deductions as per terms of the Contract and recoveries towards facilities, if any, provided by the Buyer to the Bidder on a chargeable basis.

14. Penalty:

Non-adherence to the time schedule mentioned by the internal auditor will attract a penalty @ 0.5% per week of the total fee, max up to 5% of the total fee. Decision of SPD, Samagra Siksha (E.E.) for imposing penalty will be final.

15. TERMINATION OF CONTRACT:-

SPD, Samagra Shiksha (E.E.) has the right to terminate the contract without assigning any reasons by giving 30 days' notice.

16. APPEAL AGAINST THE DECISION OF THE COMPETENT AUTHORITY:-

14.1 The firm may file an appeal against the order of the Competent Authority banning business dealing etc. The appeal shall be filed to Appellate Authority. Such an appeal shall be preferred within one month from the date of receipt of the order banning business dealing, etc.

14.2 Appellate Authority would consider the appeal and pass appropriate order within 120 days which shall be communicated to the Agency as well as the Competent Authority.

17. Circulation of the names of Agencies with whom Business Dealings have been banned.

18. ARBITRATION

In case of any dispute, it shall be referred to Arbitration. The sole arbitrator will be appointed by the SPD, Samagra Siksha (E.E.). The Arbitration shall be as per Indian Arbitration and Conciliation Act, 1996 as Amended up to date.

19. The SSA reserves its right to reject any firm/LLP without assigning any reasons.

Section-2

1. TECHNICAL PROPOSAL

Format for submission of information of the Chartered Accountant firm for selection as Internal Auditor of SAMAGRA SHIKSHA (Elementary Education) on letterhead of CA Firm/LLP.
(On the letterhead of CA firm/LLP)

- | Sr. No | Particulars | Details |
|--------|---|---------|
| 1 | Name of the CA Firm/LLP- | |
| 2 | Regis. No. & Date of Registration of CA Firm/LLP- | |
| 3 | Registered Address of H.O. and Branches- | |
| 4 | Name of Partners with membership No. & No. of years for which associated with firm- | |
| 5 | Details of qualified CA/ICWA staff- | |
| 6 | Details of Audit Clerk/Semi-qualified staff- | |
| 7 | Details of assignment of Internal/Statutory Audit of Govt/semi govt organisations/ Corporation/PSUs having an average budget is more than Rs. 50 crore in last five years. The experience of the preceding 5 years shall only be considered.
Assignment Order of budget 50-100 cr. (2 marks), 100-200 cr. (3 marks), 200-400 cr. (4 marks), More than 500 cr. (5 marks). | |
| 8 | Details of PAN, GST No. of the Firm/LLP- | |

Signature of Partner-

Name of Partner

Seal of Firm Date:

Firm Reg. No

Membership No. :

Place:

- Note:
1. Copies of certificates/documents in support of above details shall be attached.
 2. EMD of Rs. 11,000/- shall be attached with the technical proposal.
 3. Participants of Bid Number GEM/2023/B/4365413 who have submitted EMD through NEFT/RTGS, their EMD would be deemed as deposited. Expired EMD (which has been submitted by cheque) would not be considered.
Bidder can also submit the EMD with Bank guarantee/FDR/ Account payee Demand Draft/ Banker's cheque in favour of SPD
Samagra Siksha Elementary Education, Uttar Pradesh
payable at
Lucknow.
Bidder can also submit the EMD with payment online through RTGS/internet banking in beneficiary name
Samagra Siksha Elementary Education, Uttar Pradesh
A/c No.
08700100022495
IFSC Code
BARBONARHIX
Bank Name
Bank of Baroda
Branch Address
4 A, Narhi, Park Road, Lucknow.

3. C.A. firms will be exempted from performance bank guarantee.

2. **PROFORMA OF FINANCIAL BID**

(On the letterhead of CA firm/LLP)

Financial bid for engagement as Internal Auditor for financial year 2023-24

Particulars: Amount in Rs..... Fees for each cluster for engagement of Internal Auditor for financial year 2023-24 with GST and any other applicable expenses.

Total:.....

Financial bid format

S.No.	Descriptions	Amount(Rs.)
1	Internal Audit Fee for each cluster- For F.Y. 2023-24	
2	+ GST as applicable	
	TOTAL	

Signature of Partner

Name of Partner

Seal of Firm

Firm Reg. No.

Membership No. :

Date:

Place:

Note:

1. Taxes and other statutory levies will be paid on actual basis. However, present rates of applicable taxes and levies may be indicated by the tenderer.
2. The bidder is deemed to have thoroughly studied and examined the technical specification, important instructions and general terms and conditions of the tender documents and fully informed as to nature of the work as per bid document and conditions related to its performance.
3. The transport/TA/DA/other incidental expenses will be payable by the SSA.

Section – 3

Annex-1

APPLICATION AND DECLARATION FORMAT:-

INVITATION FOR REQUEST FOR PROPOSAL FROM REPUTED PROFESSIONAL
FIRM(S) INCLUDING LLP(S) OF CHARTERED ACCOUNTANT(S) FOR
EMPANELMENT FOR CONDUCTING INTERNAL AUDIT OF SAMAGRA SHIKSHA (E.E.).

[on the letterhead of the firm]

- (1) Name of the Firm/LLP:
- (2) Nature of the Firm/LLP (CA):
- (3) Registered Address with Contact Telephone No. and email:
- (4) Name of the contact person and designation:
- (5) Contact no. of the contact person with email:

Signature of the Authorized signatory

Format of Declaration

Annex-2

Non-Judicial Stamp Paper -- ₹ 100/- Duly Notarized

DECLARATION

I Sri on behalf of M/s do hereby solemnly affirm as follows:

1. I along with my audit team have carefully perused the RFP in its totality and understood its implication.
2. I along with my audit team have carefully examined the entire RFP and having obtained all requisite information about the assignment. We do hereby propose to provide the desired professional service as detailed in the RFP.
3. I along with my audit team accept the professional fees earmarked for this assignment as stated in RFP and it should remain firm during the tenure of the audit.
4. I along with my audit team do state that if Samagra Shiksha (E.E.) sustains any damages or loss as a result of negligence on our part, such loss or damages should be mitigated by indemnifying Samagra Shiksha (E.E.) without any preconditions and pretext.
5. I along with my audit team do declare that no criminal proceedings are pending w.r.t. the firm and/or Partner in any Court of Law in India or before any Disciplinary Committee of ICAI / ICAI (erstwhile ICWAI) / ICSI or any other professional institutes / bodies.

Signature of the Authorized signator

(In the Letter Head of Firm)

(PLEASE FILL THE FOLLOWING IN BLOCK LETTERS)

Particulars	Details		
1a. Name of the Firm.			
1b. Date of establishment (in dd/mm/yyyy format)			
1c. Firm's Registration Number			
1d. Address of the Firm (Head Office) with contact details.			
1e. Address of the Branch Office (if any) with contact details.			
1f. Nature of the Firm (CA)			
2a. Total number of Partners (as on 31st March of respective year)	FY 2020-21	FY 2021-22	FY 2022-23
2b. Details of Partners as on 01.12.2023 (enclose required documents in the manner as specified in the RFP)			
Full Name of the Partner	Membership number with date (dd/mm/yyyy)	FCA/ ACA	DISA/CISA
			Date of admission as Partner in the current firm (dd/mm/yyyy)
3. Details of Qualified Staff (enclose required documents in the manner as specified in the RFP)			
Full Name of the Staff	Qualification	Designation	
4. Details of Semi-Qualified Staff (enclose required documents in the manner as specified in the RFP)			

Full Name of the Staff	Qualification	Designation		
5. Annual Turnover (Professional Receipts only) of the firm (in ₹ and as per audited financial statements & Return of Income)	FY-2020-21	FY-2021-22	FY-2021-23	
6. Audit Experience in Other Companies/ Corporation/ PSUs/ Limited Companies –(enclose required documents in the manner as specified in the RFP)				
Name of the Auditee Organization	Type of Organisation	Date of engagement (please mention from most recent)	Concerned Financial Year	Turnover of the organization audited

7. PAN of the Firm:

8. GST Registration number of the Firm:

9. Whether any criminal proceedings are pending w.r.t. the firm and/or Partner in any Court of Law in India or before any Disciplinary Committee of ICAI / ICAI (erstwhile ICWAI) / ICSI or any other professional institutes / bodies: YES/NO [Please Tick (v) appropriately]

10. List of documents uploaded attested with name & designation under common seal of the Firm.

Please Tick (v) appropriately:

- a) Copy of Firms Registration Certificate YES / NO
- b) Copy of Certificate of Membership YES/ NO
- c) Copy of Certificate of Practice of all the Partners (refer point 2 above) YES / NO
- d) Copy of GST Certificate of the Firm (if any) YES/ NO
- e) Copies of Qualification certificates of the fully qualified and semi qualified staff (refer points 3 & 4 above) YES/NO
- f) Copies of Appointment letter issued to the fully qualified and semi qualified staff (refer point 3 & 4 above) YES / NO
- g) Copies of Audited Financial Statements -

1. FY 2020 – 21 YES / NO
2. FY 2021 – 22 YES / NO
3. FY 2022- 23 YES / NO
- h) Copies of Income Tax Returns for the period –
1. FY 2020 – 21 YES / NO
2. FY 2021 – 22 YES / NO
3. FY 2022- 23 YES / NO

i) Affidavit in original (duly notarized in non-judicial stamp paper of ₹100) in support of no criminal proceedings are pending w.r.t. the firm and/or Partner in any Court of Law in India or before any Disciplinary Committee of ICAI / ICAI (erstwhile ICWAI)/CSI or any other professional institutes / bodies as per template given in RFP (refer point 9 above) YES/NO

j) Copies of Engagement Letter along with terms of reference/ Work Order in support of Internal Audit/ Statutory Audit experience of the firm (refer point 6 above) YES/NO

k) Copies of Certificate for Turnover from Auditee Organisation / Audited Financial Statement of Auditee Organisation (refer point 6 above) YES/NO

l) Copy of work completion certificate/ proof of final payment received by the Organisation (refer point 6 above) YES/NO

Date:

Place: Lucknow

(Signature of the authorized signatory with name & designation under common seal of the Firm/LLP)