



NOTIFICATION

Date: 15.01.2026

EMpanelment of Chartered Accountant (CA) FIRMS & OTHER EXPERT AUDIT FIRMS/LLPs

**Online application portal will remain open from
17.01.2026 (10:00:00 hrs) to 30.01.2026 (16:59:59 hrs)**

UCO BANK invites online application from practising Chartered Accountants Firms & Other Expert Audit Firms in India for empanelment as Special Auditors for Audit of Specialised function/process validation of various models/ process or activity of various departments – Risk Management, Recovery, IT/IS, Credit, Treasury, International Banking, Forex, Resource, Marketing & Wealth Management Department, Law, Operation & Services/Customer Service etc.

Concerned Audit Firms should have high level professional knowledge, experience with large Indian clients and specialization in conducting audits like quality assessment of Internal Audit, Compliance & Risk Management Function of Bank, System and process regarding DEAF, BCP among others, Operational Risk Management Framework, Internal Ombudsman functioning, Performance Evaluation of Board Function, Validation of different banking business & risk models, IRAC Norms etc.

The above list is only indicative and any other specialized audit can also be allotted to the empanelled firms as and when required.

The audit of particular role/function or validation of various models of departmental activity/process will be carried out by identified Chartered Accountant Firms / Expert Audit Firms having expertise in audit for the said areas with past experience of Central Statutory Auditor (CSA) of Public/Private sector Banks.

There will be an empanelled pool of 20 (Twenty) special auditors comprising of CA Firms & Other Expert Audit Firms/LLP empanelled for 3 Years, subject to annual review. A scorecard rating system will be used by the Bank for evaluation & empanelment process of Chartered Accountant Firms & Expert Audit Firms based on the marks secured by them. Score will be allotted based on turnover, number of partners, experience and qualifications such as CISA/DISA or any other specialization.

Additional weightage will be awarded to Audit Firms on the basis of the following criteria:

1. Client Size Handling (Turnover range of Clients)
2. Ex Banker (Scale-V and above, CA/CFA/GARP/IIBF Certified Accounting & Audit Professional)



3. Status of Peer Review ranking certificate of ICAI
4. Technology Capabilities (Cloud accounting/Audit Management Software)
5. Experience of Model Validation in Banking Industry

A. EMPANELMENT & SCOPE OF AUDIT:

To comply with the RBI guidelines & to supplement & strengthen the Banking related specialized roles and functions in various departments, viz. Risk Management, Recovery, IT/IS, Credit, Treasury, International Banking, Forex, Resources, Marketing & Wealth Management, Law, Operation & Services/Customer Service, etc. Chartered Accountant firms & Other Expert Audit Firms (other than empanelled Concurrent Auditors and Statutory Audit Firms) shall be empanelled for conducting the audit of specialized roles/functions/ validation of various models.

Role of the empanelled Audit firms would be on substantive checking/ validation of specific process or checking of various Risk areas, viz. Credit Risk, Operational Risk, Control Risk, Regulatory/ Statutory Compliance Risk, Fraud Risk, Revenue Risk, etc.

The Audit assignment will be given to firms as and when required by Bank and as per regulatory guidelines. The firms with exposure to required areas like Risk Management, Information Technology, Credit, Treasury, Forex etc. will be only considered for the empanelment.

Necessary skilled and qualified person as per audit type will be arranged by the empanelled firm/company post empanelment.

B. ELIGIBILITY CRITERIA FOR EMPANELMENT:

1. It should be a Partnership firm/LLP of Chartered Accountants of Category-I having expertise in audit for the said areas with past experience of Central Statutory Auditor (CSA) of Public/Private Sector Banks.
2. If any partner of a Chartered Accountant firm/ Expert Audit Firm is a Director on the Board of the Bank, that Chartered Accountant firm/ Expert Audit Firm shall not be eligible to be empaneled as an Auditor in the Bank.
3. The empanelment will be for three years only subject to annual review depending on the work assigned & performance. Performance to be annually reviewed and unsatisfactory entities shall be de-empanelled.
4. Audit firms engaged by the Bank for specific Audit work should preferably have CISA-DISA and government approved professionals with requisite experience and exposure in audit and validations in banks
5. Weightage will be given to the firms where the partners themselves were ex-bankers or the firm has got tie-up with ex-bankers/ subject matter specialist with requisite experience and exposure.
6. Weightage will be given to a firm having exposure in conducting Audit (other than Concurrent audit and Statutory audit) of the Banks for a few public sector / major private sector banks.



7. The firm will not sub-contract the assigned Audit work to any outside firm or any other third party in any circumstances even though such person/firm/company is qualified chartered accountant firm/ Specialized firm.
8. A declaration to be furnished by the firm that credit facilities availed by the firm or partners or firms in which they are partners or directors including any facility availed by a third party for which the firm or its partners are guarantor/s have not turned or are existing as non- performing assets as per the prudential norms of RBI. In case the declaration is found incorrect, the assignment would get terminated and the firm being liable for any action under ICAI / RBI guidelines.

The empanelment of Chartered Accountant firms & Specialized Audit Firms would be made considering the above parameters.

Note- Details of disciplinary proceedings etc against firm by any Financial Regulator/Government agency/ICAI during last three years to be mentioned. (both closed or pending)

Additional Requirements: Documents/proofs to be attached:

1. Copy of Constitution Certificate.
2. Whether the firm is a member of any network of audit firms or any partner of the firm? If yes, details thereof.
3. Details of appointment of the firm as CSA of public/Private Sector Banks.
4. Whether the firm has been debarred from taking up audit assignments by any regulator/Government agency? If yes, details thereof.

Bank will shortlist the Audit Firms from online applications, scrutinize the documents received online by the Applicants. Ineligible & Uninvited Applications shall be treated as unsolicited.

C. ENGAGEMENT-SELECTION OF AUDITORS (POST-EMPANELMENT): (EOI/RFQ)

Whenever Bank has to undertake any specialized audit, Bank will rationalise the requirement of such Specialised Audit which will cover the scope of Audit . Further, Bank shall formulate & Provide the technical evaluation matrix, if any, and other eligibility criteria for auditor selection. The details such as scope of audit, area wise man-days allotment will be properly defined in a structural manner by the stake holder department(s) and the same will be communicated to the empanelled firm. Efforts may be made to discover estimated cost through market study and from past such projects. Sealed quotations will be invited from the empanelled firms within a 2-3 week notice period. There will be an option for Closed RFQ or with Quality cum Cost Based System (T1-L1) from the empanelled list as per requirement. In case of single or two bid solution, techno commercial evaluation to be undertaken in Negotiation Committee of the Bank.

After selection of audit firm, a Service Level Agreement (SLA) will be signed with the Audit Firm as per the terms & conditions of the Bank. Indemnity, Guarantee, Integrity Pact & non disclosure declaration etc to be obtained in all applicable cases.



D. REQUIREMENTS FROM AUDIT FIRMS:

1. Auditors shall be required to carry out the assignment in a professional manner and in case of any misconduct or negligence; the Bank is free to report the matter at any time to ICAI / IBA /RBI /other Regulatory Authority. This will be in addition to the dis-engagement from the Audit assignment.
2. Bank would provide to the Auditors a suggestive/illustrative checklist of items/areas to be checked and Auditors should identify the deficiencies/irregularities in accordance with the checklist.
3. The Auditor would also be required to report immediately to the Bank's higher authorities wherever any serious irregularity or transactions involving malafide, corrupt practices and gross indiscipline or any fraudulent transaction is detected by them.
4. The Audit firm shall not lobby directly or indirectly for considering any credit proposals of their friends / clients to the Bank.
5. The Audit firm should furnish the name, qualification and skill set of the persons, who shall be conducting audit to the Bank before commencing audit assignment.
6. The Audit report has to be released within given specified timeline with certain manpower as per the audit assignment allocated on case to case basis.

E. DIS-ENGAGEMENT:

The empanelled firms may be dis-engaged at the Bank's sole discretion. If the performance of the Auditor is found unsatisfactory or any serious act of omission or any point of time. If felt necessary, the matter may be reported to ICAI and/or RBI/IBA for necessary action.

1. If the provisionally selected firm has not sent soft copies of the application and other documents duly signed by them within the stipulated time, then their provisional selection shall be rejected.
2. If any of the information / documents furnished by the auditor is found to be untrue / incorrect, then the Bank's offer shall automatically stand cancelled without entertaining any further correspondence.
3. Deliberate omission of facts, information about disqualification which comes to the knowledge of Bank at a later date will lead to premature termination.
4. Any serious acts of Commissions, omissions, misconduct, deviations in professional ethics or any other reason Bank may deem fit and appropriate to the situation.



5. Reported disqualification as per Section 141 of Companies Act 2013 for appointment as auditors of the Bank and also as given in Section 141 of the Companies Act read with Rule 10 of The Companies (Audit and Auditors) Rules, 2014.
6. Bank reserves the right to terminate & de-panel the empanelment forthwith without any notice and without assigning any reasons in case of (i) proven misconduct (ii) getting any adverse reports or adverse confidential information (iii) Bank feels that its interests may be jeopardized, besides reserving its rights for initiating other action as deemed fit.
7. The empanelled Auditors may request for relinquishment of audit assignment due to reasons like death of partner, health grounds; availing of credit facilities from our Bank either by the auditor or his relatives.

General Instructions Regarding the Application process:

Application is to be made Online. The online application portal will remain open from 17.01.2026 (10:00:00 hrs) to 30.01.2026 (16:59:59 hrs).

To apply online for Empanelment, Please visit the link

https://apps.ucoonline.in/conc_audit_new/

It is also provided in Banks website: **www.uco.bank.in** under **Tenders/Notices**.

Please note that while filling up online application, the system will display the **APPLICATION ID** and **PASS WORD** at the top of second page of online application i.e. after clicking **SAVE & NEXT** button of first page. **Please note the same immediately for your future reference.**

After Final SUBMISSION of the application, the system will not allow to edit or modify the application. Please take the print of submitted application immediately after clicking FINAL SUBMISSION for future reference and record.

No need to send the application by Post / Mail.

A. Documents to be submitted with the application:

1. Application Form generated after filing online application signed by the authorized signatory.
2. Copy of Income Tax Returns of Previous 2 Financial Years.
3. Details of GST Paid by the Firm/LLP for the previous Financial Year.
4. In case of CISA qualified members, self attested copy of the final CISA certificate granted by the " Information Systems Audit and Control Association", USA.



5. Self Attested Copy of final certificate of Certified Public Accountant, USA/Certified Internal Auditor, USA/ Certified Fraud Examiner, USA.
6. In case the firm/partner/CA employee is/are reprimanded by Quality Review Board/National Financial Reporting Authority, debarred by any Regulatory/Authority, convicted/charge-sheeted/under-trial- copy(ies) of the orders to concerned authority(ies).
7. Any other relevant documents.

The Bank reserves the right to call for additional information with regard to the online application and documents submitted by the firm/LLP.

All documents need to be uploaded during online application. But in the event of any Firm being selected for empanelment as Auditors, they are required to furnish printed copy of online application duly signed by the authorised person, self-attested photocopies of all documents along with Original documents in support of their credentials furnished in application for verification and record at the time of Audit. The original will be returned after verification.

In case any of the information furnished by the Firm in application is found to be inconsistent with Original documents, the selection of the Firm will be cancelled forthwith. Further, if any such inconsistencies are noticed subsequent to engagement even post verification of documents, then the engagement will be discontinued with appropriate reporting of Firms name to RBI/IBA/ICAI etc.

The Bank shall send empanelment letters to selected Chartered Accountant firms & other Expert Audit Firms as per the requirement of the Bank from the empaneled list maintained at the Bank level.

B. Evaluation of applications;

The application received by the Bank would be screened by a Committee of Executives constituted for this purpose, which will consider empanelment of CA CISA /DISA qualifications number of partners, seniority, CA firms having tie-up with Ex-Bankers etc. and any other factor considered necessary by the committee for which the decision of the Committee shall be final.

Merely meeting the eligibility criteria shall not automatically entitle the firm for empanelment. After empanelment, the work will be allotted as and when the need arises at the sole discretion of the Bank. The empanelment will not give any right to the empanelled firms for carrying out the assignment. The Bank reserves its right to cancel any or all the offers without assigning any reason whatsoever.

C. Selection of Auditors:

Selection of Auditors shall be made from among the applications received from the Chartered Accountant firms & other Expert Audit firms by the Audit & Inspection department on the basis of a scoring system. The approval of the selected Auditors would be done by a Committee of General Managers.

E. Payment Terms:



The audit fee shall be paid to the firm as decided by the Bank (to the lowest bidder) from time to time, on submission of the relevant audit reports and the relevant bill along with supporting documents.

No out of pocket expenses or traveling allowance/ halting allowance would be paid to the Auditors. However, Goods & Service Tax etc. would be paid as applicable in addition to the Audit Fees. The payment to Auditors would be subject to TDS at the applicable rates.

For any query on submission of online application email to hodit.conaudit@ucobank.co.in

Helpline numbers: 033-4455 7371/7309

Please furnish your Mobile No. in the query request for resolution of issue, if any.



Empanelment Of Chartered Accountant Firm (Category-I) & Other Expert Audit Firm for various special audits
other than Concurrent, Statutory & other regular bank Audits in UCO Bank (January 2026-December 2028)
Application Form

Application Form

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| C. Experience | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 19. Details of UCO Bank Assignment (During last 5 years) | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <table border="1"> <thead> <tr> <th>Sl No.</th> <th>Assignments</th> <th>No. of years</th> <th>From</th> <th>To</th> <th>Branch/Office with SOL ID</th> <th>Zone</th> </tr> </thead> <tbody> <tr><td>1</td><td></td><td></td><td></td><td></td><td></td><td></td></tr> <tr><td>2</td><td></td><td></td><td></td><td></td><td></td><td></td></tr> </tbody> </table> | | | | | | | | Sl No. | Assignments | No. of years | From | To | Branch/Office with SOL ID | Zone | 1 | | | | | | | 2 | | | | | | | | | | | | | | | |
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| 20. Past experience of Firm/LLP as Central Statutory Auditor (CSA) of Public/Private Sector Banks? | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
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| 21. Experience in conducting Audits in specialized fields like Quality Assessment of Control Function of Bank/FI/Compliance risk of Bank Function, system and process regarding DEAF, BCP, DRM, ICCAP, Credit Rating, Oper. Risk management framework, Internal Ombudsman functioning, Performance Evaluation of Board functions, Validation of different Banking Business & Risk models, IRAC norms & model as per RBI or any other assignments. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
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| 22. Any of your Partner(s) is/are having interest as Partner in any other Firms/LLP or Firm is member Firm of a Audit Network Firm | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <table border="1"> <thead> <tr> <th>Sl No.</th> <th>Name of Partner</th> <th>Membership No.</th> <th>Association with other Firm/LLPs/Network Firm</th> <th>Position in other Firm/LLP</th> <th>Loan facilities availed by Firm/LLP from UCO bank</th> </tr> </thead> <tbody> <tr><td>1</td><td></td><td></td><td></td><td></td><td></td></tr> <tr><td>2</td><td></td><td></td><td></td><td></td><td></td></tr> <tr><td>3</td><td></td><td></td><td></td><td></td><td></td></tr> </tbody> </table> | | | | | | | | Sl No. | Name of Partner | Membership No. | Association with other Firm/LLPs/Network Firm | Position in other Firm/LLP | Loan facilities availed by Firm/LLP from UCO bank | 1 | | | | | | 2 | | | | | | 3 | | | | | | | | | | | |
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| 23. Experience in Client Type Handling for Special Audit (Assessment, Evaluation,Validation of Banking Function): | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <table border="1"> <thead> <tr> <th>Sl No.</th> <th>Assessment Year</th> <th>Type:-Public/Private Sector Bank, Financial Intuitions</th> <th>Name:-Public/Private Sector Bank, Financial Intuitions</th> <th>Assignments</th> <th>Contract Value</th> </tr> </thead> <tbody> <tr><td>1</td><td></td><td></td><td></td><td></td><td></td></tr> <tr><td>2</td><td></td><td></td><td></td><td></td><td></td></tr> </tbody> </table> | | | | | | | | Sl No. | Assessment Year | Type:-Public/Private Sector Bank, Financial Intuitions | Name:-Public/Private Sector Bank, Financial Intuitions | Assignments | Contract Value | 1 | | | | | | 2 | | | | | | | | | | | | | | | | | |
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| 24. Experience in Validation of various business models in Banking Industry. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
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| 25. Information to furnish: | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 25a. Client Size Handling (Contract value with Clients) | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <table border="1"> <thead> <tr> <th>Sl No.</th> <th>Audit Year</th> <th>Name of Client</th> <th>Assignments/Audit/Evaluation/Assessment/Validation</th> <th>Contract Value</th> </tr> </thead> <tbody> <tr><td>1</td><td></td><td></td><td></td><td></td></tr> <tr><td>2</td><td></td><td></td><td></td><td></td></tr> </tbody> </table> | | | | | | | | Sl No. | Audit Year | Name of Client | Assignments/Audit/Evaluation/Assessment/Validation | Contract Value | 1 | | | | | 2 | | | | | | | | | | | | | | | | | | | |
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| 25b. | Technology Capabilities: | | | | | | |
| | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 15%;">Cloud accounting</td> <td></td> </tr> <tr> <td>Audit Management Software</td> <td></td> </tr> <tr> <td></td> <td></td> </tr> </table> | Cloud accounting | | Audit Management Software | | | |
| Cloud accounting | | | | | | | |
| Audit Management Software | | | | | | | |
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| 26. | Whether the Firm/LLP has ever been depanelled by the Bank or any other Bank for any kind of Audit or for any other assignment. | | | | | | |
| 26a. | If yes, details of such events with reasons thereof. | | | | | | |
| 27. | Whether the Firm/LLP or any partners have been debarred by ICAI/RBI/GOI/ any regulator at any time. | | | | | | |
| 27a. | If yes, details of such events | | | | | | |
| 28. | Any other relevant information, the Firm/LLP intends to furnish | | | | | | |

➤ All documents related to information furnished above to be uploaded in single file (pdf format).

We confirm & Undertake that:

1. No Partner/member of the firm is a Director in the Board or an Employee or Relative of employee in the UCO Bank.
2. The Firm/LLP has positive networth and earning net profit in last 2 Financial Year.
3. Credit facilities availed by the Firm/LLP including any facility availed by a third party for which the Firm/LLP or its partners are guarantor/s have not turned or are existing as non- performing assets as per the prudential norms of RBI. In case the declaration is found incorrect, the assignment would get terminated
4. The information furnished above is correct to the best of my/our knowledge and belief. In case any information or a part thereof is found incorrect, my/our application may be rejected forthwith, our empanelment may be discontinued and the Firm/LLP being liable for any action under ICAI / RBI guidelines.

We undertake to furnish necessary evidence/proof thereof, if any as and when required by the Bank.

Place:
Date:

Signature of Partner/Authorized Signatory
[Please put rubber stamp of the Firm/LLP]
Name: