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## **REQUEST FOR PROPOSAL (RFP) :**

State Level Nodal Agency, Watershed Development Component – Prime Minister's Krishi Sinchayee Yojna (SLNA, WDC – PMKSY), Assam under aegis of Soil Conservation Department, Assam seeks to invite proposal from C & A.G of India empanelled Chartered Accountant firms meeting the minimum eligibility criteria for providing their services for the statutory audit for the financial year 2017-18 of SLNA, WDC- PMKSY, Assam at the State and District level, Project Implementing Agency and Watershed Committee level.

The details about the background of the auditee, the units to be covered in the audit, scope of work, terms and reference and the eligibility criteria for selection of the Chartered Account firm are given in the following paragraphs.

### **TERMS OF REFERENCE (TOR) :**

#### **SECTION-I (BACKGROUND) :**

The society of the SLNA under WDC-PMKSY, Assam aims at sustainable development of rainfed/degraded or wasteland, common property resources and social capital to enhance employment, income generation, empowering rural, socially and economically. The common objectives are efficient management of land water inputs for equitable development and community empowerment.

#### **SECTION -II- FUNDING :**

The project sanctioned by the Govt. of India for implementation programme is spread over a period of 4 to 7 years with allocation of fund from the Ministry of Rural Development, Govt. of India and a matching State share by the Govt. of Assam.

#### **SECTION -III (SCOPE OF AUDIT) :**

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

- a) An assessment of adequacy of the financial systems, including financial controls. This should include aspects such as adequacy and effectiveness of accounting, financial and operational controls; level of compliance with established policies, plans and procedures; reliability of accounting systems, data and financial reports; methods of remedying weak controls; verification of assets and liabilities; a specific report on this aspect would be provided by the auditor annually as part of the management letter.
- b) Funds have been spent in accordance with the condition laid down by the Department of Land Resources, Ministry of Rural Development, Government of India from time to time with due attention to economy and efficiency, Counterpart contribution from State Government, where required, has been provided.
- c) Goods and services have been procured in accordance with the relevant procurement guideline issued by the Government of India and SLNA, IWMP, Assam.

#### **PROJECT FINANCIAL STATEMENTS :**

The audit shall include the following :

- I. District wise/ Project Implementing Agency Consolidated Annual Statement of Accounts.
- II. SLNA level Annual Statement of Accounts.
- III. Batch wise Consolidated Annual Statement of Accounts.
- IV. Consolidated Annual Statement of Accounts. All Batches and SLNA level consolidated Annual Statement of Accounts.
- V. Batch wise Utilization Certificate.

- Schedule of all Cash and Bank Balances (attach bank reconciliation statements)
- Program wise statement of expenditure.

**SECTION-IV (ELIGIBILITY CRITERIA ):**

- I. The firm must be empanelled with C & AG of India and ICAI, without which the application of the firm would not be considered.
- II. Firms must qualify following minimum criteria :

Sl. No.	Particulars	Minimum Criteria
1.	Number of Full Time Partners associated with the firm for not less than 2 years (As per Certificate of ICAI as on 01-01-2017)	Minimum 3 partners
2.	Turnover of the firm (Average annual in last three financial years)	Minimum Rs. 25.00 Lakhs
3.	No. of Years of Firm Existence with Head Office in Assam.	7 years
4.	No. of assignment of Statutory Audit of Corporate/PSUs entities/Social Sectors Agencies except Bank Branch Audit having a turnover of not less than Rs. 20.00 Crores	05

a) Any firm not qualifying these minimum criteria need not apply as their proposal shall be summarily rejected.

b) Supporting Documents for Eligibility Criterions : Following supporting documents must be submitted by the firm along-with the technical proposal.

- ✘ For Sl. No. 1 above, the firm must submit attested copies of Certificate of ICAI as on 01-01-2017.
- ✘ For Sl. No.2, the firm must submit copies of the Balance Sheet for the last three years.
- ✘ For Sl. No.3, the firm must submit the certificates of registration or operation.
- ✘ For Sl. No. 4, the firm must submit a copy of the appointment letter from the auditee organization. Branch audit of any Bank shall not be considered while taking into account the total number of assignments.

III. The firm or any partner of the firm should not be black-listed by any PSUs or Govt. or any other organization in respect of any assignment or behaviour. (Self attested Affidavit on **Rs. 100/-** Stamp paper to be given in this regard by the authorized person of the firm).

**SECTION-V (GUIDELINES FOR SUBMITTING THE PROPOSAL ):**

- i. Proposals for Technical Proposal and Financial Proposal are to be submitted in two separate sealed cover envelopes stating clearly "Technical Proposal" and "Financial Proposal" respectively and both the envelopes should be inserted in a single envelop while submitting the proposals.

**Address of submission :**

- i. Chief Executive Officer, State Level Nodal Agency, WDC – PMKSY, Assam Bhumi Sangrakshan Bhawan, 3<sup>rd</sup> Floor, R.G. Baruah Road, Guwahati-5.