

REQUEST FOR PROPOSAL

RFP No.: ASDMA. 6/2011/52

ISSUED BY: Assam State Disaster Management Authority

ISSUE DATE: From 5th to 20th April,2013.

**Last Date of:
Submission** 4th May ,2013.

Contact Person: Addl.Chief Secretary,Revenue & D.M. Deptt. &
Chief Executive Officer, ASDMA,
Assam State Disaster Management Authority,
Opp. SBI Sectt.Branch, Ancillary Block
Assam Secretariat ,
Dispur, Guwahati-06.

Summary of Proposal:

This Request for Proposal is issued by the Assam State Disaster Management Authority to obtain proposal from C & AG empanelled Chartered Accountant firms for providing their services for the Statutory audit of ASDMA Funds for the year 2011-12 and 2012-13..



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1. REQUEST FOR PROPOSAL TERMINOLOGY

Throughout this document, the following definitions apply:

- a) "Applicant" means a party that submits, or intends to submit, a Proposal;
- b) "Work Order" means the written order resulting from this RFP issued by the Authority ;
- c) "The Authority" or ASDMA means the Assam State Disaster Management Authority;
- d) "Must", or "mandatory" means a requirement that must be met in order for a Proposal to receive consideration;
- e) "Proposal" means a proposal submitted in response to this RFP;
- f) "RFP" means this Request for Proposal; and
- g) "Should" or "desirable" means a requirement having a significant degree of importance to the objectives of RFP.



2. EXECUTIVE SUMMARY

Background

The State Disaster Management Authority in Assam was notified by the Government in the year 2007 and its Secretariat has become functional from the year 2009. The Assam State Disaster Management Authority has been established as per the mandate of the Disaster Management Act 2005 which redefines the shift in approach to the concept of disaster management. The government is now committed to a holistic approach to disaster management encompassing all phases - Prevention, Mitigation and Preparedness as well as Response, Relief & Rehabilitation.

For carrying out the various activities of Mitigation & Preparedness, Grant-in-Aid is received by the Authority from the Government by way of Bank transfer and deposited to the Bank Account of Assam State Disaster Management Authority. The activities are undertaken by ASDMA as per the State Executive Committee approved Work Plan. Sanction of these funds is as per the Delegation of Financial Powers of Assam State Disaster Management Authority which has been approved by the SEC chaired by the Chief Secretary Assam.

The task ahead is to:

- Audit the fund received for the year 2011-12 amounting to Rs 6 crore.
- Audit the fund received for the year 2012-13 amounting to Rs 9 crore.

3. TERMS OF REFERENCE

- a) Audit of Accounts of ASDMA for the year 2011-12 & 2012-13.
- b) While auditing the Accounts, the chartered Accountant should also certify the following:
 - Reconciliation of the bank accounts upto the period of audit.
 - Cheque issue Register has been maintained up to date
 - Voucher Pads relating to expenditure incurred.
 - Goods and Services financed have been procured in accordance with the Government guidelines.
- c) The Audit should be completed within two months from the issue of engagement order and Audit report must be submitted to ASDMA in triplicate within two weeks from the compilation of Audit without fail.
- d) The Administrative Officer and Finance Officer of ASDMA will extend necessary help to the chartered Accountant for smooth execution of the job.
- e) The Trial Balance, Bank Reconciliation Statement and also Statement of Receipt and Payment should be prepared..
- f) All Statement of Accounts should be signed by the concerned officer and the Chartered Accountant.



4. RFP Process:

- i) The Authority is the Work Order issuing authority as relates to this RFP.
- ii) This RFP is illustrative in nature and all narrations are intended to be used by the applicant as a preliminary background explanation. This RFP does not necessarily contain all relevant information and the Authority reserves the right to amend its requirements or the information contained in this document at any time during the RFP process.
- iii) The Authority offer no warranties in regard to the information contained in this RFP and shall not be liable for any loss or damage as relates to this RFP for any applicant, potential applicant or any other third party arising as a result of reliance on this RFP's information or any subsequent communication.
- iv) If the Authority decides to select an applicant for the services, at that time a detailed Work Order will be issued to the applicant selected. This Work Order will not be made available until the selection of a successful applicant.
- v) Neither the RFP document nor any other related document shall constitute a contract or agreement with Authority.
- vi) The Authority reserves the right to disqualify any applicant who provides information which later proves to be incorrect, or which does not supply the information required by this RFP.
- vii) The Authority will not be liable for any costs of any applicant participating in this RFP.
- viii) The submission of a response to this RFP by any applicant or potential applicant confirms the applicant or potential applicant's acceptance of all terms and conditions of this RFP.
- ix) Respondents to this RFP or their agents may not make any contact with any party employed or directly associated with the Authority as relates to this RFP. Any clarifications and all information will be via e-mail only to asdmaghy@gmail.com

5. INSTRUCTIONS TO APPLICANT

A. General Requirements

- i) The response to RFP is required to address all technical requirements contained within this RFP.
- ii) Only proposals submitted strictly in accordance with the RFP Documents or as may be required by the Authority will be considered as valid proposals by the Authority.



- iii) The RFP is not a Work Order. A separate Work Order will be made available only after selection of the preferred applicant.
- iv) All information supplied by the Authority in connection with this RFP shall be treated as confidential.

B. Timetable

The RFP timetable is given below. The Authority retains the right to vary or discontinue the process or any part thereof at its absolute discretion.

<i>Activity</i>	<i>Date</i>
Issue of RFP Document	
Deadline for Proposal submission	

C. Submission of RFP

- i) Potential Applicant must complete and sign the Undertaking at Appendix A.
- ii) Only one original form of proposal signed by the authorised signatory in ink is required by the Authority. No typed or pencil signatures will be accepted.
- iii) Applicants are required to submit one printed original hard copy of the proposal document and one electronic copy in Microsoft Word. The printed copy of the documents will be taken to be correct if there is any inconsistency between the versions.
- iv) The proposal submitted must be without any overwriting, corrections, double typing, etc.
- v) Applicant will submit their proposal in two parts. The first part will contain the Technical Proposal. The second part will contain the Financial Proposal.
- vi) The Technical Proposal should be submitted in a sealed envelope marked "Technical Proposal". The Financial Proposal should be submitted in a separate, sealed envelope marked "Financial Proposal".
- vii) The two sealed envelopes should then be submitted in one sealed envelope super scribed with the wordings **“Do not open”** and this envelope should be clearly marked **“Request for Proposal for Audit”**
- viii) The cover thus prepared should also indicate clearly the name, address and telephone number of the Tenderer to enable the Bid to be returned unopened in case it is declared "Late".
- ix) The Technical Bid and Financial Bid should be a complete document and should be bound as a volume separately. The document should be page numbered and appropriately flagged and contain the list of contents with page numbers. The deficiency in documentation may result in the rejection of the Bid.



- x) The sealed envelop containing the proposal must be received in the office of the Chief Executive Officer byon any working day up to Envelopes / documents received after the stated time and date will be rejected.

D) Preparation of RFP Document

Technical Bid

- i) Details of the Firm along with details of Partners
- ii) Details of Qualified Staff & Semi Qualified Staff
- iii) Details of key personnel to be deployed
- iv) The Work Plan for conducting the Audit of ASDMA
- v) Past relevant experience.

Forms for Technical Bid is given at Annexures B, C, D, E & F.

Financial Bid

- i) The Financial bid will be the Professional Fee charged by the Firm as per the Scope of Work as laid down in the Terms of Reference.
- ii) Tenderer should provide all prices as per the prescribed format under this Form. Tenderer should not leave any field blank. In case the field is not applicable, Tenderer must indicate "0" (Zero) in all such fields.
- iii) All the prices are to be entered in Indian Rupees INR (%age values are not allowed).
- iv) It is mandatory to provide breakup of all Taxes, Duties and Levies wherever applicable and/or payable.
- v) The final Financial Bid of the Tenderer shall be inclusive of all Taxes, Duties and Levies including Service Tax, etc.
- vi) Authority shall take into account all Taxes, Duties & Levies for the purpose of Evaluation.

The Financial Bid Summary Form is given at Annexure G

E) Period of Validity

Proposals must remain open for acceptance for a minimum of 90 days.

6. EVALUATION OF PROPOSAL

- 1) Tenders will be evaluated based on **Technical** and **Financial** Bid.
- 2) The evaluation would consist of following phases

Phase I: Evaluation of Technical Bids

Phase II: Evaluation of Financial Bids



Phase I: Evaluation of Technical Bids

I} In case of **Technical bid**, proposals will be evaluated on the following basis

- 1) Constitution of the Firm – whether partnership/proprietorship with staff strength (Qualified & semi qualified)
- 2) Qualification of Staff to be deployed for the work
- 3) Minimum three years Audit experience of the Firm.
- 4) Attested copy of similar work order/completion certificate during the last two years.
- 5) Workplan for conducting and completing the work within two months of receipt of the work order.

II} The technical bid will be analyzed and evaluated and the technical bid marks shall be assigned to each bid on the basis of following evaluation matrix

Bid Component	Weightage in Technical Score	Minimum Qualification Score
Quality of tenderer credentials	80	48
Project Team and experience of personnel deployed	80	48
Audit experience	80	48
Work Plan for conducting the Audit	60	36

III} Only those tenderers who obtain the Minimum Qualification Score in each competency group will be eligible for consideration in Financial bids.

Phase II: Evaluation of Financial Bids

- In this phase, the Financial Bids of the Tenderer, who are technically qualified in Phase I, shall be opened.
- The financial bids will be ranked as per their quotes and the lowest quoted fee of the tenderer will be considered as L1 (Lowest bidder).
- The bid of the tenderer who has been declared as Lowest bidder (L1) will then be awarded the work.

7. Right to Vary Scope of work at the time of Award:

The Authority may at any time, by a written order given to the Tenderer, make changes within the general scope of the Work. If any such change causes an increase or decrease in the cost of, or the time required for, the Tenderer's performance of any part of the work, whether changed or not changed by the order, an equitable adjustment shall be made in the agreed Price or delivery schedule, or both, and the Work Order shall accordingly be amended. Any claims by the Tenderer for adjustment under this Clause must be asserted within thirty (30) days from the date of the Tenderer's receipt of the Authority's changed order.

8. Right to accept any Bid and to reject any or all Bids:

The Authority reserves the right to accept any bid, and to annul the Tender process and reject any or all bids at any time prior to award of work, without thereby incurring any liability to the affected Tenderer or Tenderer or any obligation to inform the affected Tenderer or Tenderer of the grounds for the Authority's action.

9. Notification of Award:

Prior to the expiration of the period of bid validity, the Authority will notify the successful Tenderer by e-mail or in writing, by registered letter that its bid has been accepted.

10. Issuing the Work Order:

At the same time as the Authority notifies the successful Tenderer that its bid has been accepted, the Authority will send the Work Order, incorporating its requirements including the conditions laid down in the RFP. Within 7 days of receipt of the Work Order, the successful Tenderer shall sign and date the Work Order and return a copy to the Authority as a token of acceptance of the requirements laid down.

11. Confidentiality of the Document:

This Tender is confidential and anything contained in this Tender shall not be disclosed in any manner, whatsoever.

12. Rejection Criteria:

Besides other conditions and terms highlighted in the Tender document, bids may be rejected under following circumstances:

- Incomplete bids that do not quote for the complete Scope of Work as indicated in the bidding documents, addendum (if any) and any subsequent information given to the Tenderer
- Bids providing information that are found to be incorrect/ misleading at any stage / time during the Tendering Process
- Technical Bid containing financial details
- Bids that reveal prices in any form or by any reason before opening the Financial Bid
- Bids not submitted in Two Bid systems in separate envelopes.
- Bids in which the total lump sum price quoted by the Tenderer is not inclusive of all taxes, duties, fees, levies, works contract tax and other charges
- Bids made through Telex /Telegraphic / Fax/E. Mail
- Bids which do not confirm unconditional validity of the bid for 90 days from the date of opening of bid



- Bids where prices are not firm during the entire duration of the contract and / or with any qualifications
- Bids that do not confirm unconditional acceptance of full responsibility of executing the 'Scope of Work' of this Tender
- Bids in which the Tenderer seeks to influence the Authority's bid evaluation, bid comparison or contract award decisions

13. General

i) Tenderer shall not make any alteration / changes in the bid after the closing time and date. Unsolicited correspondences from Tenderer will not be considered.

ii) If at any stage of Tendering process or during the currency of the Work, any suppression / falsification of such information is brought to the knowledge of the Authority, the Authority shall have the right to reject the bid or cancel the Work Order, as the case may be, without any compensation to the Tenderer.

iii) The Tenderer shall be deemed to have complied with all clauses in the Tender under all the sections/chapters of the Bidding document, unless otherwise stated in the deviation statement. Evaluation will be carried out on the available information in the bid.

iv) Any other point, which may arise at the time of evaluation, will be decided by Authority for assessment of the bids.

v) Other important Information

- a) The Authority is not bound to accept the lowest or any tender or to assign any reason for non-acceptance. The Authority reserves its right to accept the RFP either in full or in part. Conditional Bids will be rejected outright.
- b) The Authority reserves the right to cancel the Work Order of any agency/ agencies in case of change in the procedures or unsatisfactory services.
- c) In the event of any dispute, the tribunals and courts in Guwahati will have the exclusive jurisdiction in respect of all matters pertaining to the agreement between the Consultant/Organisation/Institute and the Authority.



UNDERTAKING

TO: The Chief Executive Officer
Assam State Disaster Management Authority
Assam State Secretariat
Dispur, Guwahati

I/We _____

Of (insert business address)

Hereby submit our proposal in response to the Request for Proposal (RFP) for providing services for the Statutory audit of ASDMA funds for the year 2011-12 and 2012-13 and undertake to execute and complete the services as we will be reasonably required to be performed, in accordance with our proposal, the RFP requirements and the final work order to be issued by the Authority.

This RFP shall remain valid to be accepted by the Authority and shall not be withdrawn for a period of 90 days from _____

I/We understand that the Authority reserves the right to accept / reject any application and the selection is at their sole discretion.

Authorized Signature

Name in full :

Agency Name :

Title :

Date :



TECHNICAL BID
Proposal for Audit of ASDMA Funds

Technical Bid - Particulars/Details of Firm

SI No	Particulars	Supporting documents required to be submitted along with the Form
1.	Name of the Firm	
2.	Address of the Firm	
3.	Firm Income Tax PAN No	Attach copy of PAN Card
4.	Firm Service Tax Registration No	Attach copy of Registration
5.	Empanelment No with C&AG	Attach proof of latest empanelment with C&AG for the year under Audit
6.	Audit Experience of the Firm	Attach copy of Offer letter for evidence



Annexure C

Technical Bid – Details of Qualified Staff & Semi Qualified Staff

A. Details of Qualified Staff (Chartered Accountant)

(Please provide a self attested copy of Certificate of ICAI as on 1.1.2013 for each qualified staff)

Sl No	Name of Staff	Length of Association with the Firm (in Years)	Educational Qualifications	Area of Key Expertise	Membership No	Relevant Experience

B. Details of Semi qualified Staff (including Article Clerks etc)

Sl No	Name of Staff	Length of Association with the Firm (in Years)	Educational Qualifications	Area of Key Expertise	Membership No	Relevant Experience

Annexure D

Technical Bid – Details of Key Personnel to be deployed

Name	Position	No's (Minimum)	Educational Qualification	Key Responsibilities or Tasks Assigned	Relevant experience

Annexure E

Technical Bid - Prior Experience

Brief of Relevant Experience

Sl No	Name of the Auditee Organization	Funds handled of the Auditee Organization	Coverage & Scope of the assignment	Duration of completion of the assignment	Proof of the Work or Assignment order

Technical Bid: Work Plan

Work Plan alongwith the time required for each activity.

The firm should propose the main activities of the assignment, their content and duration and delivery date of the reports

**Financial Bid
Proposal for Audit of ASDMA funds**

SI.No.	Description	Value in INR
1	Professional Fees	
2	Taxes on Professional Fee	
	a. _____ Tax @ ___%	
	b. _____ Tax @ ___%	
3	Miscellaneous Expenses 1 Miscellaneous Expenses 2 Miscellaneous Expenses 3 Miscellaneous Expenses ...	
4	Taxes if any on Miscellaneous Expenses	
	_____ Tax @ ___%	
	_____ Tax @ ___%	
	Total Financial Bid (In Figures)	
	Total Financial Bid (In Words)	

