

REQUEST FOR PROPOSAL (RFP)
FOR
APPOINTMENT OF CA FIRM/LLP AS INTERNAL AUDITOR
OF NATIONAL INSTITUTE OF MENTAL HEALTH
REHABILITATION (NIMHR), SEHORE (MP)
F.Y. 2022-23



राष्ट्रीय मानसिक स्वास्थ्य पुनर्वास संस्थान – सीहोर
National Institute of Mental Health Rehabilitation, Sehore

दिव्यांगजन सशक्तिकरण विभाग, सामाजिक न्याय और अधिकारिता मंत्रालय, भारतसरकार

Department of Empowerment of Persons with Disabilities (Divyangjan), Ministry of Social Justice & Empowerment, Govt. of India

पुराना जिला पंचायत भवन, लूनीया चौराहा, मंडी रोड, सीहोर, मध्यप्रदेश – 466001

Old District Panchayat Bhawan, LuniyaChauraha, Mandi road, Sehore, Madhya Pradesh – 466001

वेबसाइट / Website: <https://nimhr.ac.in>, फोन / Phone: 0756-2223960, ईमेल / Email: dy.registrar@nimhr.ac.in

REQUEST FOR PROPOSAL (RFP) DOCUMENT FOR APPOINTMENT OF CA FIRM/LLP AS INTERNAL AUDITOR OF THE INSTITUTE FOR THE F.Y. 2022-23

1. INTRODUCTION:-

This is a Central Autonomous Institute under the *Department of Empowerment of Persons with Disabilities (Divyangjan), Ministry of Social Justice & Empowerment, Government of India*. It is registered as Society under the MP Societies Registration Act, 1973. It is a National Institute working in the area of mental health rehabilitation.

The broad **objectives** of the institute are :-

- To promote mental health rehabilitation using integrated multidisciplinary approach.
- To promote and undertake capacity building and to involve in developing trained professionals in the area of mental health rehabilitation.
- To engage in research and development and policy framing towards promoting mental health rehabilitation services.

The accounts of the Institute are prepared as per the prescribed common format applicable to the Central Government Autonomous Bodies, Apart from this, all the funds are managed through PFMS (Public Finance Management System).

NIMHR, Sehore intends to appoint the Internal Auditor for the financial year 2022-23. The role of the Internal Auditor is to conduct the audit in terms of the scope of work and submit the quarterly audit reports to the Director or to the person authorized by the Director of the Institute.

The appointment will be initially for a period of one year i.e. for 2022-23, which can be extended for further period of one more year on mutually agreed terms, if the performance of the firm found to be satisfactory by the institute.

2. AVAILABILITY OF RFP:-

The RFP document is available at NIMHR's website www.nimhr.ac.in . Moreover, the same may also be collected from the Institute

Prospective CA Firm/LLP desirous of participating in this RFP may either view and download the RFP document free of cost from the above website or collect from the institute.

3. IMPORTANT DATES:-

Date of issue of RFP	14.02.2022.
Pre Bid meeting date & time	
Last date for submission of Technical and financial bid	04.03.2022 (17.00 hrs)
Technical Bid opening date	08.03.2022 (11.30 hrs)
Financial Bid opening date	15.03.2022 (11.30 hrs)

4. ELIGIBILITY CRITERIA:-

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

Sr. No	Particulars	Minimum criteria
1	Number of full time partners associated with the firm/LLP for not less than 3 years and shall be member of the Institute of Chartered Accountants of India	2
2	Turnover of the firm/LLP (Average of last three years i.e. 2018-19, 2019-20 and 2020-21)	Rs. 15 Lacs
3	No. of years of Firm/LLP existence	Not less than 5 years
4	The Chartered Accountant Firm should be registered with The Institute of Chartered Accountants of India (ICAI) and must have Permanent Account Number (PAN) and valid GST Registration.	
5	The Firm should be empanelled with Comptroller and Auditor General of India (C&AG).	
6	The firm should have experience of handling the Audit of Central Autonomous educational institutes of repute, PSU Banks, and Public Sector Enterprises etc.)	For at least 5 years
7	The Firm should have head office at anywhere in India but should have a branch office at Bhopal/Sehore.	For at least 2 years
8	The firm/ partner has not been debarred/blacklisted by any Bank / State Govt. / Central Govt./ State PSU/ CPSU/SEB/ Public Utility as on date.	

9	There should be no legal suit/criminal case pending or contemplated against CA firm on the ground of moral turpitude or for violation of any law in force.	
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Any firm/LLP not qualifying these minimum criteria need not apply and their proposal shall be summarily rejected. Proper substantive documents should be submitted in support of fulfilling the eligibility parameters.

5. EVALUATION CRITERIA FOR SELECTION OF INTERNAL AUDITORS:-

A. TECHNICAL EVALUATION:-

In the first stage, technical evaluation of all the proposals received till due date will be done. Technical evaluation will be in respect of eligibility parameters and will be qualifying in nature.

B. FINANCIAL EVALUATION:-

All the technically qualified proposals will be evaluated in terms of financial cost/Professional fees, and the firm quoting least professional fee shall be appointed.

6. SUBMISSION OF THE PROPOSAL:-

- a) The interested firm shall submit the Technical and Financial proposal separately duly bound and containing the index/table of content with all the pages numbered.
- b) The proposal in the prescribed format should be submitted on or before 04.03.2022 (17.00 hrs).
- c) i) The outer envelope cover shall be super scribed:-

“For appointment of Internal Auditor for FY 2022-23”

and addressed to :-

**The Director,
National Institute of Mental Health
Rehabilitation (NIMHR),
Old Jilla Panchayat Bhawan,
Luniya Chouraha, Mandi Road,
Sehore- 466001. (MP)**

This envelope/cover shall contain:-

- ii) The Cover 1- Technical Proposal (Super-scribed) containing all the relevant formats duly filled in, **Demand Draft of Rs.5000/- in favour of NIMHR, Sehore and other relevant enclosures- duly sealed.**
- iii) The Cover 2 - Financial Proposal (Super-scribed) containing the relevant formats duly sealed.
- iv) Both these covers- Cover 1 & Cover 2 shall be put in outer envelope/cover as stated above in (C i) and submitted duly sealed.

7. NATURE AND SCOPE OF THE INTERNAL AUDIT:-

The nature and scope of the Internal Audit will be as per Annexure-I enclosed. The Executive Council or the Director reserves the right to alter the nature/scope of the audit, if need arises. The firm / LLP shall depute atleast one qualified staff for the assignment.

8. PERIODICITY OF INTERNAL AUDIT:-

The Internal Auditor shall conduct quarterly audit and submit audit report within 30 days from end of each quarter.

9. REPORTING:-

The Internal Auditor should report to the Finance and Account Section 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 shall also be in compliance with applicable statutory norms and provisions.

10. TERMINATION OF CONTRACT:-

NIMHR, Sehore reserves it's right to terminate the contract without assigning any reasons by giving 30 days notice.

11. ARBITRATION

In case of any dispute, it shall be referred to Arbitration. The sole arbitrator will be appointed by the Director. The Arbitration shall be as per Indian Arbitration and Conciliation Act, 1996 as amended up to date. The place of Arbitration shall be Sehore (MP) and the language will be English.

On the letter-head of CA firm/LLP

TECHNICAL PROPOSAL

Format for submission of information of the Chartered Accountant firm for selection
as Internal Auditor of NIMHR, Sehore

Sr. No	Particulars	Details
1	Name of the CA Firm/LLP	
2	Reg. 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/CWA staff	
6	Details of Articles/Audit Clerk/Semi-qualified staff	
7	Details of previous assignments of Internal/Statutory Audit of Autonomous bodies/Corporation/PSUs, etc.	
8	Details of empanelment of firm with Comptroller and Auditor General of India (C&AG)	
9	Details of PAN, GST No. of the Firm/LLP	

Date :
Place :

Signature of Partner
Name of Partner
Seal of Firm
Firm Reg. No
Membership No. :

Note:

1. Copies of certificates/documents in support of above details shall be attached.
2. EMD of ₹ 5000/- shall be attached with the technical proposal.

(On the letter-head of CA firm/LLP)

PROFORMA OF FINANCIAL PROPOSAL

Format for submission of financial proposal for selection as Internal Auditor of
NIMHR, Sehore

Particulars	Amount (in Rs.)
Professional fees for engagement of Internal Auditor for financial year 2022-23.	
GST and any other applicable expenses.	
Total.	

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 tenderer is deemed to have thoroughly studied and examined the technical specification, important instructions and general terms and conditions of the RFP document and to have fully informed as to nature of the work as per annexure - I and conditions related to its performance.
3. No transport/ TA/ DA/ other incidental expenses will be payable by the Institute.

Signature of Partner
Name of Partner
Seal of Firm
Firm Reg. No.
Membership No. :

Date:
Place:

ANNEXURE - I

NATURE AND SCOPE OF THE INTERNAL AUDIT

The nature and scope of work of the Chartered Accountant Firm shall be as follows:-

1. Finalisation of Annual Accounts of NIMHR, Sehore for the financial year ended on 31.03.2022. Internal Audit and submission of internal audit report i.r.o. of aforesaid annual accounts of NIMHR. All other annual statutory compliances as per extant provisions of the various applicable Act/s.
2. Verification and checking of financial transactions from cash book/bank book and other ancillary record maintained by the Institute and to ensure that the cash in hand is reconciled with cash book record.
3. Review and checking of Bank reconciliation statements.
4. Review, checking, & applicability of all statutory obligations/ compliances such as GST, TDS on GST, TDS, Income Tax, NPS, EPF, ESIC, MP Co-operative Societies Act, professional tax etc. and filing of all original & revised statutory returns (Income Tax, TDS, GST etc.) on or before the due date as per the provisions of the concerned Act/s.
5. Pre-audit of Purchase files, vouchers, purchase proposals, records of different departments/sections etc. to ensure that the same are being made in compliance to the Institute's rule and procedures, General Financial Rules (GFR) and other applicable rules of Govt. of India.
6. Preparation of Annual Accounts of the Institute and verification of annual account data in annual report. Checking of opening balance of trial balance.
7. Report risk management issue and internal control deficiencies identified and provide recommendation for improving Institute's operation.
8. Review and verify the provisions of accrued expenditure and income as at the end of the year.
9. Review and checking of outstanding balances in student's fees receivable, creditors account, advances etc.
10. Review and checking of the Grants received and its utilization as per the terms and conditions.
11. Review, checking & reconciliation of tuition fees and other fees received by the institution from the students.
12. Review and verification of additions to fixed assets, fixed assets register and physical verification.
13. Review and verification of the record/system of bill payment to various contractors and also to review the compliance on them with term of contract with user.
14. Suggestion of improvement of the existing system of accounting and management information system from time to time.

15. Review and verification of the expenses incurred with the approved Budget.
16. Review and verification of the last statutory/Internal audit comments and compliances.
17. Assist full time during C&AG Audit & preparation of reply including old paras.
18. Vouching, Ledger Scrutiny, verification of Internal audit of books of accounts, ancillary records on monthly basis and submission of reports on quarterly basis.
19. Verification of unspent balance report, Utilization Certificate and other reports submitted to DEPwD/MoSJE periodically.
20. Provide opinion on all notices, queries, & intimations received from the statutory authorities and preparation of its reply.
21. Verification of Income Tax computation sheet (along with the income tax declaration form and proof of investment) of all employees of NIMHR & preparation of Form 16 & 16A.
22. To appraise the Institute on regular basis about applicability of Circulars/Notifications issued by the Govt. / Tax Departments (like Income Tax, TDS, GST & other statutory body etc.).
23. To review, checking and certification of Utilisation certificate, Statement of expenditure, funds received under different projects/heads, sponsored/funded projects.
24. Internal auditors or their representatives should visit the institute on a timely basis preferably minimum once in a week or depending upon the urgency of the work assigned. Attendance records will be maintained at F&A section for this purpose.
25. Internal auditors or their representatives should coordinate and represent the reply from institute side (if any) to the government authorities such as Income Tax office, GST office etc.
26. Internal auditors should frame and follow the internal audit manual of NIMHR and prepare all the relevant check lists. A monthly work log/summary of the work carried should be provided at the end of every month.
27. Review of Bank Guarantee (contractors) management and systems.
28. Support in Budgetary control of Grants received from DEPwD, MoSJE.
29. Supports in all types of Statutory/Legal Compliances.
30. Reorganization Income (IRG from various sources such as consultancy, rents, fees etc.)
31. The audit reports to be submitted along with corrective/suggestive measures, if any, are to be submitted immediately on completion of audit as per format of internal audit report.
32. Any other work/s assigned from time to time.