



UTTAR BIHAR GRAMIN BANK

Head office: Kalambagh Chowk, Muzaffarpur [Bihar]

To be up loaded on Official website of UBGB

Annexure-II

APPLICATIONS ARE INVITED FROM CHARTERED ACCOUNTANT FIRMS TO UNDERTAKE CONCURRENT AUDIT OF UNDER MENTIONED BRANCHES OF UTTAR BIHAR GRAMIN BANK, HEAD OFFICE, MUZAFFARPUR (BIHAR) FROM 01.01.2020

Off line Applications are invited from Chartered Accountant Firms for assignment of Concurrent Audit of following branches of Uttar Bihar Gramin Bank.

SN	Name of The Branch	Regional Office	District	Advance As on 30.09.19	Deposit As on 30.09.19	Average Business As on 31.03.19	Fee per month (Rs.)	Scale of the branch
01	Bettiah	Bettia	West Chaparan	2.98	26.92	32.11	12000/-	III
02	Chapra	Chapra	Chapra	7.27	46.12	53.72	12000/-	III
03	Sitamarhi	Sitamarhi	Sitamarhi	8.51	90.00	109.75	13000/-	IV
04	Sheohar	Sitamarhi	Sheohar	7.99	23.38	30.36	12000/-	III
05	Hajipur	Hajipur	Vaishali	4.01	67.27	72.70	12000/-	III
06	Madhubani	Madhubani	Madhubani	5.12	36.28	39.97	12000/-	III
07	Laheriasarai	Darbhanga	Darbhanga	6.31	63.57	67.08	12000/-	III
08	Araria	Araria	Araria	14.06	27.90	40.43	12000/-	III
09	Purnia	Purnia	Purnia	5.57	48.97	56.13	12000/-	III
10	Kishanganj	Araria	Kishanganj	11.58	23.56	34.21	12000/-	III
11	Siwan	Siwan	Siwan	16.34	115.61	90.24	13000/-	IV
12	Gopalganj	Gopalganj	Gopalganj	30.77	96.68	121.33	13000/-	IV
13	Motihari	Motihari	East Champaran	29.79	41.27	73.14	12000/-	III
14	Supal	Saharsa	Supaul	26.70	39.49	65.29	12000/-	III
15	Saharsa	Saharsa	Saharsa	24.40	51.19	74.29	12000/-	III
16	Katihar Bazar	Purnia	Katihar	18.21	36.44	53.86	12000/-	III
17	Madhepura	Saharsa	Madhepura	21.46	25.82	46.9	12000/-	III
18	Muzaffarpur	Muzaffarpur	Muzaffarpur	18.45	45.84	51.57	12000/-	III
19	Lohiya Nagar	Saharsa	Supaul	44.30	50.01	95.04	13000/-	IV
20	Barhara Kothi	Purnia	Purnia	32.99	24.82	57.20	12000/-	III
21	Rajapatti	Gopalganj	Gopalganj	30.12	43.68	69.59	12000/-	III
22	Guru Bazar	Purnia	katihar	29.63	20.12	46.60	12000/-	III
23	Banmankhi	Purnia	Purnia	29.51	14.24	42.97	12000/-	III
24	Jalalgarh	Purnia	Purnia	28.63	16.74	41.30	12000/-	III
25	Champanagar	Purnia	Purnia	27.64	13.08	39.26	12000/-	III
26	Sarsi	Purnia	Purnia	27.52	10.29	36.25	12000/-	III
27	Jhala	Araria	Katihar	27.10	13.99	38.62	12000/-	III
28	Singheshwar	Saharsa	Madhepura	27.02	13.75	41.50	12000/-	III
29	Krityanand Nagar	Purnia	Purnia	26.82	13.16	37.50	12000/-	III
30	Tulsiya	Araria	Kishanganj	26.23	13.95	38.03	12000/-	III
31	Sour Bazar	Saharsa	Saharsa	25.94	18.26	41.92	12000/-	III
32	Thakurganj	Araria	Kishanganj	25.68	16.60	41.04	12000/-	III
33	Bhatkhora Bazar	Saharsa	Madhepura	25.52	10.68	35.20	12000/-	III

34	Dagarua	Purnia	Purnia	25.27	15.75	38.97	12000/-	III
35	Rautara	Purnia	Kishanganj	25.07	25.98	47.89	12000/-	III
36	Dangraha	Purnia	Purnia	24.94	15.33	38.07	12000/-	III
37	Jantahat	Araria	Kishanganj	24.52	13.11	35.02	12000/-	III
38	Terragach	Araria	Kishanganj	24.33	17.81	39.84	12000/-	III
39	Korha	Purnia	Katihar	24.17	11.07	34.46	12000/-	III
40	Garhbanaili	Purnia	Purnia	24.07	14.80	37.40	12000/-	III

The following terms and conditions shall be applicable for appointment of Chartered Accountant Firms as Concurrent Auditors:

01. The firm should be either a proprietorship or a partnership having Chartered Accountants as proprietor/ partner(s).

02.. The eligibility criteria will be as under:

Professional standing : more than 03 years as on 31.03.2019

Partnership/ proprietorship Firms only, of which FCA/s at least : 01.

Experience - Minimum 01 public sector Banks as Concurrent Auditors or Statutory Auditors.

(experience of the Firm only as Statutory and Concurrent Auditor is to be taken and not that of individual partner shall be counted).

03. The Firm should having Chartered Account(s) as partner(s)/ Proprietor.

04.The firm or its proprietor/partners have not been the subject of inquiries in the past by the Institute of Chartered Accountants of India as per the provisions of Section 21 of the Chartered Accountants Act, 1949 and no such inquiry is pending , initiated, or contemplated by the Institute as on the date of application as well as date of acceptance of assignment. They should not be blacklisted in Central Bank Of India or in any other financial institutions.

05. Where there are group of firms of Chartered Accountants having common partners, only one of the firms in the group will be eligible for assignment of Concurrent Audit.

06. The Firm would normally be allotted Concurrent Audit of any one branch of the Bank.

07.Assignment of Concurrent Auditor shall be given initially for a period of one year, thereafter may be extended on the basis of performance and at the discretion of the Board of the Bank, however, no Concurrent Auditor shall continue with the assignment for a branch for more than two year. However, in case the performance of the Concurrent Auditor falls short of the expectation of the Management, the Concurrent Auditors may be replaced at any time. The performance of Concurrent Auditors will be monitored by the Regional Offices on monthly basis who will after scrutinizing the monthly concurrent audit reports, submit the rating at the end of every month to Audit & Inspection Department, Head Office for review.



08.Besides Chartered Accountant, the firm should have other qualified and other experienced staff, infrastructure and office within an approachable distance from the location of the auditee branch to undertake Concurrent Audit.

09.The firm which conduct Statutory Audit of Uttar Bihar Gramin Bank shall not be considered for appointment as Concurrent Auditor by the Bank during that year and the next year.

10.The firm which has a partner/ proprietor who is also a partner/proprietor of the firm entrusted with the Statutory Audit of Uttar Bihar Gramin Bank shall not be considered for appointment as Concurrent Auditors in Uttar Bihar Gramin Bank. In other words, sister/associate concerns of the firm carrying out Statutory Audit of Uttar Bihar Gramin Bank shall not to be considered for appointment as Concurrent Auditors.

11. If any of the Directors of Uttar Bihar Gramin Bank is a partner/proprietor in a firm, such firm shall not be considered for appointment as Concurrent Auditor.

12. The Concurrent Auditor shall not be entitled for any additional benefits or perquisites, apart from schedule of fee for Concurrent Audit as mentioned above in chart.

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13. In case, the performance of the Concurrent Auditor fall short of expectation of Management or the Audit Committee of the Board, the Bank may terminate assignment of the Concurrent Auditor at any time.

14. If any serious acts of omission or commissions/ malafide intention are noticed in the working of Concurrent auditors, their appointment may be cancelled and the fact may be reported to NABARD & ICAI.

15. After completion of assignment, the Firm may be considered for audit assignment in other branches. This will be purely at the discretion of the Bank and no rights whatsoever shall accrue to the Firm for such appointment.

16. In normal course, at any one point of time, not more than one audit assignment would be awarded to a firm. An audit assignment that needs to be carried out across the branches / units at different locations would be considered as a single assignment for this purpose.

17. The Concurrent Audit should be conducted on daily basis (on all working days) by audit assistant/ partner/ proprietor of the Firm. The senior partner/proprietor shall visit branch at least for 05 working days during the month for respective allotted branches.

18. The assignment of concurrent audit given by us should not be given to anybody on subcontract basis.

19. Mere submission of application for Concurrent Audit and fulfilling the criteria thereof does not, in any way, constitute guarantee for assigning any type of audit of the Bank.

20. Allotment will be made for vacancies existing and no correspondence shall be entertained in the matter. Application received shall be valid for only one process.

21. If Firm or partner are availing any credit facility(s) from any branch of Uttar Bihar Gramin Bank or have guaranteed any credit facility, please furnish the following information:

Name of the partner :
Name of Bank's Branch :
Nature of dealing/facilities :
Banking since with A/c No. :

22.Fee for Concurrent Audit: As mentioned above in chart + GST. GST is payable by the Bank separately provided the Firm furnishes the GST registration no./ TAN no. etc. TDS shall be deducted at source as per rule.

23. At the exigencies of the management, application may be considered even for another branch at same or nearby branch, not opted by the Firm.

24 . The Firm has to submit following papers at the time of apply (off line):

01.Duly filled in Application form (2) Copy of Registration of the Firm (3) Copy of qualification of each partner issued by ICAI (4) Copy of PAN of the Firm (5) Copy of PAN of the partner (6) Address proof of the Firm (7) Address proof of the partner (8) Certificate of practice (9) Copy of experience of audit as Statutory Audit & Concurrent audit. (10) Paper related to UAN no.(11) Certificate related to GST No.(12)Declaration on letter head regarding information required under point no.04, 09 & 10.

[All papers should be self certified].

If we do not receive complete set of documents in a single lot as mentioned above, assignment will stand cancelled automatically without showing any reason thereof and no correspondence will be entertained on this issue.

25. The CA Firm is required to undertake Concurrent Audit of the branches, allotted to him from 01.01.2020. Audit & Inspection department, Head Office shall provide a detailed checklist, other operating guidelines and structured formats for the audit report/ certificate with assignment letter. The report is to be submitted in time before 05th working day of succeeding month to the concerned branch

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and one copy to concerned Regional Office and Head Office by post. Delay in submission of report shall be considered while evaluating performance of the CA Firm.

26. If above terms and conditions are acceptable then only hard copy of application should be submitted so that the application alongwith all required papers may be received by us **by 25.10.2019** on address: **General Manager (A&I), Uttar Bihar Gramin Bank, Head Office, Sharma Complex, Kalambagh Chowk, Muzaffarpur, PIN- 842 001 (BIHAR). "Application for the appointment of Concurrent Auditor" should be written on top of the envelope.**

(Mahendra Kumar)
(Mahendra Kumar)
GENERAL MANAGER



UTTAR BIHAR GRAMIN BANK

Head office: Kalambagh Chowk, Muzaffarpur [Bihar]

Audit & Inspection Department

Date:

ANNEXURE-III

Application form for Chartered Accountant Firms for appointment/assignment of Concurrent Auditor for different branches of Uttar Bihar Gramin Bank, Head Office, Sharma Complex, Kalambagh Chowk, Muzaffarpur (Bihar) PIN- 842 001

(Before filing the form, please see details on website of UBGB (www.ubgb.in))

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(Recent self attested photograph of proprietor/ all partner(s))

Preference of the branches for which application is tendered:

Sl No.	Branch	Regional Office	District
1			
2			
3			
4			
5			

(The Firm may be assigned any of the branch preferred above or other branch also which is not opted by the Firm.)

Sl No.	Particular	Information furnished
1	Name of the CA Firm	
2	UAN No. of the Firm	
3	Constitution of the Firm; Partnership/ Proprietorship	
4	Registration no. of the Firm:	
5	Date of Registration:	
6	Is/Are the Chartered Accountants of the Firm common partner/ proprietor of	

	other Firm, if yes, then Name of the CA & its Firm .		
7	Professional standing of the Firm as on 31.03.2019	_____ Years as on 31.03.2019.	
8	No. of partners of the Firms.		
	Out of which no. of FCA and his/ their name & membership number.	No. of FCA: <u>Sl. No.</u> <u>Name</u> <u>Membership No.</u>	
9	PAN no. of the Firm:	Name of the Firm— PAN No. of the Firm---	
10	PAN No. of each partner.	<u>Sl. No.</u> <u>Name</u> <u>PAN No.</u>	
11	Previous Experience of Firm as Concurrent auditors	Name of PSU Bank/ Branch/ Year & month of conducting Audit (from --- to ----)	
12	Previous Experience of Firm as Statutory auditors	Name of PSU Bank/ Branch/ Year & month of conducting Audit (from --- to ----)	
13	Whether the Firm or its sister/ associates concerns carrying out Statutory Audit of UBGB during 2016-17, 2017-18 & 2018-19.		
14	Whether partner/ proprietor of the Firm is Director of the UBGB?		
15	Whether the Firm or its sister/ associates concerns carrying out Concurrent Audit of branches of UBGB since 01.11.2018 and onwards. If yes, then please mention name of the branch & period of Concurrent Audit.		
16	GST No.		
17	Address of the Firm .	Head Office	Branch Office
18	Email ID of the Firm		

19	Phone No. of the Firm		
20	Name & address of each partner with mobile no.		
21	Whether the Firm or its proprietor/ partner have been the subject of inquiry in the past by Institute of Chartered Accountant of India as per provision of section 21 of the Chartered Accountant Act, 1949 and no such inquiry is pending, initiated, or contemplated by the Institute as on date of application as well as date of acceptance of assignment.	(mandatory to furnish the information. Please do not write as " NA")	
22	Staff strength: of the Firm		
	(i) Employed CAs:		
	(ii)Article Assistant:		
	(iii)Retired Bank Officer		
	(iv)Others		
23	If Firm or partner are availing any credit facility(s) from any branch of Uttar Bihar Gramin Bank		
	Or have guaranteed any credit facility, please furnish the following information:		
	Name of the Partner		
	Name of Bank's Branch		
	Nature of dealing/ facilities		
	Banking since with A/c No		

Please attach duly signed Zerox copies of following documents with application forms:

1. Copy of Registration of the Firm .
2. Copy of professional qualification of each partner issued by ICAI.
3. Copy of PAN of the Firm.
4. Copy of PAN of the partner
5. Address proof of the Firm
6. Address proof of the partner
7. Certificate of practice

8. Copy of experience of audit as Statutory Audit & Concurrent audit.
9. Certificate related to GST No
10. Declaration on letter head pad regarding information required under Serial no.13, 14 & 21.

Declaration:

(a) We confirm that the details/information furnished above is/are true and correct. In case any detail furnished is found incorrect later on, the Bank has right to terminate the assignment, without giving any prior notice, in addition to taking up with ICAI for action as deemed fit.

(b) We shall undertake to maintain secrecy of the Banking transactions/ Accounts as per Banking Regulation Act.

All terms and conditions related to Concurrent audit, as are mentioned on website (www.ubgb.in) of UBGB on 09.10.2019, have been read, understood and are acceptable to me/us.

Signature with seal.

Place:

Date: