



Expression of Interest (EOI)
for Empanelment of
Consultant Chartered Accountant
In
Uttar Pradesh Expressways Industrial
Development Authority (UPEIDA)

Reference No. UPEIDA/6338/2024

Invited by:

Uttar Pradesh Expressways Industrial Development Authority (UPEIDA)
2nd Floor, Paryatan Bhawan, C-13, Vipin Khand, Gomti Nagar, Lucknow-226010, India.

Notice for Expression of Interest (EOI) for Empanelment of ‘Consultant Chartered Accountant’ In Uttar Pradesh Expressways Industrial Development Authority (UPEIDA)



Uttar Pradesh Expressways Industrial Development Authority (UPEIDA)
2nd Floor, Paryatan Bhawan, C-13, Vipin Khand, Gomti Nagar, Lucknow-226010 India
Phone : +91 522 2307592/2307542 Fax : +91 522 4013560 E-mail: upeida.finance@gmail.com

Notice for Expression of Interest for Empanelment of ‘Consultant Chartered Accountant’ In Uttar Pradesh Expressways Industrial Development Authority

Chief Executive Officer, UPEIDA, invites Expression of Interest from eligible Qualified Chartered Accountant Entities for Empanelment for specified work items in Uttar Pradesh Expressways Industrial Development Authority.

The interested qualified Chartered Accountant Entities may study the Expression of Interest Document available on the website <https://upeida.up.gov.in> for further details. Queries, if any, may be posted by email to upeida.finance@gmail.com with the title / subject line of the email being “**Query for EOI for Empanelment of Consultant Chartered Accountant in UPEIDA**”. In case of necessity of a personal contact, the Deputy Chief Executive Officer of UPEIDA may be contacted over the mobile phone no. +91-9958437080 or Landline No. +91-522-2307542.

The Application clearly indicating the required relevant details may be submitted in a **sealed envelope** subject to the conditions mentioned in the EOI Document, before 18:00 hrs on 05 February 2024 to the Chief Executive Officer at the abovementioned address with superscription on the envelope as “**EOI for Empanelment of Consultant Chartered Accountant In UPEIDA**”.

Applicants may also send, **additionally**, the pdf copy of complete Application and its attachments, if any, through e-mail to upeida.finance@gmail.com, with the aforementioned title / subject line **after 18:00 hrs on 05 February 2024** within a maximum of next two days.

All further notices, corrigenda, addenda, amendments and clarifications, if any, before the specified date of submission of Application, will be hosted on the aforementioned website.

UPEIDA reserves the right to accept / reject any or all EOI(s) received without assigning any reason.

Chief Executive Officer, U.P. Expressways Industrial Development Authority (UPEIDA)

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1. Introduction and Background

1.1 Uttar Pradesh Expressways Industrial Development Authority (UPEIDA)

Uttar Pradesh Expressways Industrial Development Authority (UPEIDA) has been set up as a statutory entity of Government of State of Uttar Pradesh in India, in the year 2007 under the Uttar Pradesh Industrial Area Development Act, 1976 enacted by the Provincial Government. UPEIDA has been assigned by the Government of Uttar Pradesh to work as the nodal agency for construction of Expressway Projects in the State. UPEIDA has completed the construction work of 6-lane (expandable to 08 lanes) Agra to Lucknow Access-Controlled (Greenfield) Expressway, Purvanchal Expressway and Bundelkhand Expressway; these expressways are operational for public vehicular traffic. Further, the work on Gorakhpur Link Expressway (96 Km) is under advanced stages of construction. Further, the construction of one more project, namely, 594 Km long Ganga Expressway Project has been started by UPEIDA on Design, Build, Finance, Operate and Transfer (DBFOT) basis under Public Private Partnership (PPP) mode. UPEIDA is implementing the Defence Industrial Corridor concept of Government of India. UPEIDA is also seized of development of Economic and Industrial Corridors alongside the aforesaid Expressways in the State.

1.2 Context of the Invitation of EOI

In terms of the provisions of the Uttar Pradesh Industrial Area Development Act, 1976, UPEIDA is required to maintain proper accounts and other relevant records and prepare annual statement of accounts including the balance sheet in such form as the State Government may specify. These accounts as also the statements are subject to audit as specified. Therefore, UPEIDA has appointed Chartered Accountants separately as its Statutory Auditors and Internal Auditors. However, their work role is specified as such. UPEIDA is now in the need for services of a Chartered Accountant Entity for advising, guiding and supervising various other items of works related to various accounts as may be needed by UPEIDA from time to time. Some of these items of work are listed as below:-

- i. Income Tax Audit and other related work
- ii. GST audit and other GST related work
- iii. Arbitration cases related accounting / audit work
- iv. Assistance in preparation of specific reports that may be desired by UPEIDA from time to time,
- v. Occasional Certifications relating to various accounts related works falling within the ambit of the Chartered Accountant
- vi. Assistance in the work relating to verification of toll revenue of various Expressways of UPEIDA on occasional basis

- vii. Any other accounting related work items that may be assigned by UPEIDA on mutual consultation basis

Accordingly, UPEIDA proposes to empanel a qualified Chartered Accountant Entity initially for the financial year 2023-24 with provision to extend the same to subsequent financial accounting year(s) on satisfactory performance at the sole discretion of UPEIDA, such that the total period shall not extend beyond the total period of 05 (FIVE) financial accounting years. Accordingly, UPEIDA invites applications from eligible Chartered Accountants (hereinafter referred as Applicant). It would be required that the Applicant Entity should have its main office preferably in Lucknow. However, those Applicants having their main office at a place other than Lucknow, should necessarily have a Branch Office in Lucknow with at least two Practising Chartered Accountants placed in Lucknow Office.

1.3 Brief Description of the Process for Appointment

UPEIDA intends to make the process more participative in nature by inviting the wider market interest from Chartered Accountants in line with the process described later in this document. In nutshell, the process shall be based on single-stage single-envelope concept and the Chartered Accountant entities achieving more than 75 marks in Evaluation (refer para 6.5) will be considered for appointment on lowest cost basis. UPEIDA will undertake its own analysis of the proposals, seek appropriate Approvals and send out formal offers to the respective Chartered Accountants for the specified period.

1.4 Disclaimer

Information provided in this Document to the interested applicant(s) is on a wide range of matters, some of which may depend upon interpretation of law. The information given is not intended to be an exhaustive account of statutory requirements and should not be regarded as a complete or authoritative statement of law. UPEIDA accepts no responsibility for the accuracy or otherwise for any interpretation or opinion on law expressed herein. Further, the Applicants are expected to carry out their own detailed examination of the subject matter before submitting their Applications. Nothing contained in this document shall be binding on UPEIDA nor confer any right on the Applicants, and UPEIDA shall have no liability whatsoever in relation to or arising out of any or all contents of this Document.

2. Scope of the Expression of Interest

- 2.1 UPEIDA has been receiving funds from the Government of Uttar Pradesh for its Expressway Projects undertaken on EPC basis and for the Defence Industrial Corridor Project. UPEIDA has also availed loans from Housing and Urban Development Corporation and from the consortia of various Public Sector Banks. On completion of the construction work, UPEIDA is authorised to levy user fees (toll).
- 2.2 UPEIDA follows a decentralized payment & financial accounting procedure. Payments are handled and the books of accounts are maintained separately for various Projects. The financial accounting is made generally following the Accounting Standards issued by the Institute of Chartered Accountants of India, as applicable to UPEIDA, and various Significant Accounting Policies as adopted by the Board of Directors of UPEIDA from time to time. The financial statements are prepared in the formats prescribed by the Government of Uttar Pradesh. In accordance with the aforementioned Act and as approved by the State Government, the annual accounts of UPEIDA are required to be audited by the Comptroller & Auditor General of India also.
- 2.3 UPEIDA is also required to comply with the provisions related to statutory taxes like Income Tax, and GST etc.
- 2.4 Further, there are some cases under arbitration relating to the payments to the contractors as per the EPC agreement regarding the Expressway Projects of UPEIDA. There may be a need for computation / verification of the amounts of claim in these cases.
- 2.5 There may be a need for a periodical verification of the amounts of toll revenue on various Expressways of UPEIDA.
- 2.6 The empanelled Chartered Accountants may also be required to undertake certain certifications like the Utilisation Certificates, certificates relating to the accounts of UPEIDA as may be required by its Board, the lending banks, Government or for preparation of occasional reports relating to some particular aspects of the accounts of UPEIDA.
- 2.7 UPEIDA would require that Applicants provide professional, objective, and impartial advice and at all times hold UPEIDA's interests as paramount and strictly avoid conflict with their other assignments or their own corporate interests. Applicants shall review their operations and satisfy themselves that the proposed assignment in UPEIDA is not in conflict with their prior or current obligations, or that of their associates / affiliates that may place them in a position of not being able to carry out the assignment in the best interest of UPEIDA. As a matter of

clarification, the Applicants should not be conducting any type of audit work in respect of the clients of UPEIDA.

- 2.8 Applicants would be required to observe the highest standard of ethics during the selection process as also during the process of execution of their work in UPEIDA. For this purpose, the “corrupt practice” would mean offering, giving, receiving, or soliciting of anything of value to influence the action of a public official in the selection process or in contract execution and the “fraudulent practice” would mean any misrepresentation of facts in order to influence a selection process or the execution of a contract to the detriment of the interests of UPEIDA, and includes the “collusive practices” among the Chartered Accountants (prior to or after submission of proposals) leading to deprivation of UPEIDA of the benefits of free and open competitive process. In case of any information is brought to the notice of UPEIDA from any source that may tantamount to the “corrupt practice” or the “fraudulent practice”, the Applicant would be declared as ineligible for consideration for empanelment and in case any Applicant has already been empanelled, such empanelment shall be dispensed forthwith without any compensation in this regard soon after such information coming to the notice of UPEIDA. At its discretion on case basis, UPEIDA may also take a stringent step of black-listing of such Applicants from their eligibility for any future work in UPEIDA.

3. The Application

3.1 Format of the Application

In the light of the above, the format of the Application would comprise broadly of the following:-

- i. The Covering Letter indicating the interest of the Applicant Entity
- ii. A Check-list duly filled in
- iii. The Power of Attorney for the official signing on the Application and the related documents
- iv. Evidence of the existence of the Applicant Entity as a legal entity competent to undertake the work of a Chartered Accountant. The self-certified copy of Certificate of Registration / Incorporation of the Applicant Entity would be required to be submitted.
- v. Basic Particulars of the Applicant Entity
- vi. A list of the companies registered under the Companies Act, 2013, or other Central / State Acts or the Corporations or the Government Bodies etc. in respect of which the Applicant Entity has been associated as the Chartered Accountant during the last three financial years. This list may indicate separately the public sector undertakings, private sector entities and Government Entities so as to facilitate appropriate assessment;
- vii. A list along with separate Bio-Data of each of the practising Chartered Accountants with the Applicant Entity. The names of the Chartered Accountants each with a minimum experience of ten years in the profession and those having DISA qualification may be given specifically in this list along with the evidence of their experience for a minimum period of ten years.
- viii. For the Applicants not having their main office in Lucknow, an evidence of existence of an office of the Applicant Entity in Lucknow with positioning of at least 2 (two) practising Chartered Accountants in such office.
- ix. A declaration to the effect that the Applicant Entity or any of its partners have not been disqualified or black-listed by the Comptroller and Auditor General of India or any other Competent Authority.
- x. An Undertaking regarding avoidance of conflict of interests
- xi. Financial Proposal
- xii. A copy each of the Address Proof and KYC Documents (namely PAN Card as also the AADHAR Card) may also be furnished by the Applicant entity.

xiii. Any other information that the Applicant Entity may like to furnish in support of its Application, may be attached.

Broad formats that may be adopted by the Applicant Entity are given in Part - 8 of this Document for the sake of uniformity. Any additional information to be furnished by the Applicant to facilitate its consideration for empanelment may be attached at appropriate place.

3.2 Language of the Application

The responses prepared by the Applicant and all correspondence and documents exchanged between the Applicant and UPEIDA, shall be written in English language. Any printed literature furnished by the Applicant in another language should be accompanied by an English translation, in which case, for the purposes of interpretation of the EOI, the English translation shall govern. If any supporting documents submitted are in any language other than English, translation of the same in English language is to be duly attested by the Applicant.

3.3 Serial Numbering of Pages

All the documents being submitted as Application should be duly bound and each page thereof should be numbered serially without any gap. A page kept as blank may also be numbered and be specified as blank sheet.

3.4 The Application should not contain any inter-lineation or overwriting, except as necessary to correct errors made by the applicant itself. Any such correction must be duly authenticated by the person who is authorised to sign the Proposal.

4. Remuneration :-

The remuneration of the Consultant Chartered Accountants to be empanelled by UPEIDA shall be as per the normal standards obtaining in the domain of Chartered Accountants for similar works. However, the same shall be finalised on the basis of Financial Offers of the respective Applicants on lowest cost competitive basis. The Applicants may indicate their all-inclusive costs for the specified work during the FY 2023-24 in their Applications that will be considered for the purpose of competitive price bidding. **For the purpose of reference of the Applicants, the minimum fee for the specified services is kept at Rs 06,00,000/- (Rupees Six Lakhs only) per annum for the FY 2024-25. The Applicants may also indicate their incremental fees on percentage basis in case of consideration of their empanelment beyond the FY 2024-25 on annual basis. The Applicants may indicate their quotes in the format as given in Annexure – 10 of this Document. They may indicate their schedule of payments expected by them at various points of time during the FY but this will not be the part of the competitive price bidding.** The GST shall be payable by UPEIDA, over and above the amount released from time to time in respect of the remuneration, as applicable at the time of such release of remuneration. The Tax Deduction at Source shall be done in line with the rules applicable in this regard at the time of release of the payments.

5. Important Dates & Information

Sl. No.	Item	Details
1	Project Name	Invitation of Expression of Interest (EOI) for Empanelment of Chartered Accountants In Uttar Pradesh Expressways Industrial Development Authority (UPEIDA)
2	Reference Number	UPEIDA /6338/ 2024
3	Issue Date	20 January 2024
4	Website to download Application Document	https://upeida.up.gov.in
5	Queries by email	Applicants may post queries by email to upeida.finance@gmail.com . Please keep "Query for EOI for Empanelment of Chartered Accountants" as subject of the email.
6	Last date for receipt of Queries	On or before 27 January 2024
7	Date for posting of UPEIDA's Response to the Queries, if any, on its website	30 January 2024 or earlier
8	Last Date for Submission of Application	05 February 2024
9	Opening of Applications	07 February 2024
10	Validity of Applications	120 days from the date of opening
11	Letter of Award (LOA)	Within 20 days of Opening of Applications
12	Signing of Contract Agreement	Within 10 days of issuance of LOA
13	Submission of Application (in Hard Copy)	Complete Application in sealed envelope along with relevant details may be submitted through Speed Post/Courier so as to reach by 18:00 hrs on 05 February 2024 at the following address:-

		<p>The Chief Executive Officer U.P. Expressways Industrial Development Authority (UPEIDA) 2nd Floor, Paryatan Bhawan, C-13, Vipin Khand, Gomti Nagar, Lucknow-226010 India Telephone: +91-522-2307542 / 2307592</p> <p>Note:- The Application may be prepared as indicated in Section 3, using the formats as indicated in Section 8 of this Document and submitted to UPEIDA as indicated in para 7.7 of this Document.</p> <p>Ensuring proper delivery of the Application in UPEIDA office by the given time and date shall be the responsibility of Applicant Entity.</p>
14	Submission by email	<p>Additionally, the applicants should also send the pdf copy of complete Application along with its enclosures through e-mail to upeida.finance@gmail.com with the aforementioned title / subject line after 18:00 hrs on 05 February 2024 within next two days.</p>
15	Contact Person for EOI	<p>Deputy Chief Executive Officer U.P. Expressways Industrial Development Authority (UPEIDA) 2nd Floor, Paryatan Bhawan, C-13, Vipin Khand, Gomti Nagar, Lucknow-226010.</p> <p>Mobile Phone No. : +91 9958437080 Landline No. +91-522-2307542</p>

6. Norms for Eligibility and Evaluation of Application

6.1 The **eligibility norms** for consideration of empanelment of the Consultant Chartered Accountant are as follows:-

Sl. No.	Requirement	Value
I	Number of years of experience as Member of the Institute of Chartered Accountants (ICAI)	10 years
ii	Number of full time partners.	2
iii	Number of Practicing CAs# in full time employment with DISA qualification@.	2
Iv	Minimum annual turnover of the applicant in any of the FY 2022-23, 2021-22 or 2020-21.	Rs. 35 Lakhs.
V	In any one financial year, i.e. 2022-23, 2021-22 or 2020-21, the applicants should have completed audit assignment of at least one PSU/Private Sector Company /Government Entity with minimum turnover of unit/branch (in case of audit of a unit/ bank branch only) audited.	Rs. 10 Cr.
Vi	Number of entities (Private companies registered under Companies Act or PSUs or Government Entities) audited during last three Financial Accounting Years. (At least 10 entities) (Various Branches/ Unit of one company are to be considered one entity)	At least 10 such entities.
vii	Experience of assignments with the entities having PPP/ BOT/ EPC Projects during last three financial accounting years	At least one Project

Note : # : The Practicing CAs would be those having the Certificate of Practice from the ICAI

@ : Certificate issued by ICAI regarding acquiring of DISA qualification should be attached in respect of the concerned CAs.

6.2. Applications from the Joint Venture / Consortium or Association of CA firms shall not be considered.

6.3 The Evaluation Committee of UPEIDA shall open the Applications and carryout the evaluation of the proposals contained therein.

6.4 Information relating to evaluation of Applications and recommendations concerning the award shall not be disclosed to the Applicants who submitted the Applications or to other persons not officially concerned with the process, until the selected Applicant Entity has been notified about their empanelment.

6.5 EVALUATION :

6.5.1 The evaluation of the Proposals for the empanelment of the Consultant Chartered

Accountant shall be made taking into consideration the norms / criteria as follows.

S.N.	Particulars	Maximum Marks	Marks
1	Experience of the CA firm	20	
	At least ten years		15
	>10 upto 15 years		17
	>15 years		20
2	Number of full time Practicing CAs with the CA firms	15	
	At least two full time partners		12
	2 – 05 full time partners		14
	>05 full time partners		15
3	Number of Practicing CAs with DISA Qualification	15	
	At least 2 CA		12
	3 - 5 CA		14
	>5 CA		15
4	Annual Turnover of the Firm	15	
	At least INR 35.00 lakhs		12
	>INR 35.00 lakhs upto INR 60.00 Lacs.		14
	>INR 60.00 Lacs		15
5	In any one financial year out of 2022-23, 2021-22 or 2020-21, the applicant have conducted audit of / associated as Chartered Accountant with at least one PSU / Private Sector Company / Government Entity with a minimum turnover of	15	
	At least INR 10.Cr.		12
	>INR 10.00 Cr. Upto INR 50.00 Cr.		14
	>INR 50.00 crore		15
6	No. of companies (registered under Companies Act) or Government Entities audited / associated as Chartered Accountant	10	
	At least 10 companies		6
	More than 10 upto 30 companies		8
	More than 30 companies		10

7	Experience as auditor / associated as Chartered Accountant with the entities having PPP/ BOT/ EPC projects during last 3 financial years	10	
	At least one project		6
	More than 1 upto 3 projects		8
	More than 3 projects		10
		100	

6.5.2 It is evident that the Applicant entity must secure at least 75 overall marks to qualify.

6.5.3 In case, a partner is also a partner or proprietor or employed in any other CA firm, then that partner will not be considered for evaluation.

6.5.4 For the purpose of Evaluation as above, the data shall be tabulated from the information contained in the Application. Similarly, the financial quotes shall be tabulated from the information contained in the Application as per the Annexure 8.

6.5.5 The Applicants shall be placed in a descending order of the marks obtained by them for the criteria as indicated in the above table and the Applicant quoting the least total amount of costs to UPEIDA amongst the Applicants obtaining 75% or more marks in this table of descending order shall be considered for selection by UPEIDA.

6.5.6 The following graded criteria may be adopted in case the same total amount of costs to UPEIDA is quoted by more than one Applicant short-listed as above:-

a. In case of more than one Applicants quoting the same consolidated amount of fees for the year 2024-25, the one quoting the minimum of the average value of the incremental percentage expected for next four years shall be chosen.

b. In case of more than one Applicants quoting the same consolidated amount of fees for the year 2024-25 as also the same average value of the incremental percentage expected for next four years, out of them the Applicant securing highest marks in the technical assessment out of 100 as per the Evaluation Criteria specified in the Document for Invitation of Applications shall be chosen.

c. In case of more than one Applicants quoting the same consolidated amount of fees for the year 2024-25 as also the same average value of the incremental percentage expected for next four years and all such Applicants securing same marks in the technical assessment out of 100, the one with highest number of Practicing Chartered Accountants as on the date publication of the Document by UPEIDA shall be chosen.

d. In case of more than one Applicants quoting the same consolidated amount of fees for the year 2024-25, the average value of the incremental percentage expected

for next four years, securing same marks in the technical assessment out of 100 and having same number of Practicing Chartered Accountants as on the date publication of the Document by UPEIDA, the Applicant with longest number of completed years of existence/ experience as on that date shall be chosen.

e. In case of more than one Applicants having same values of all the five parameters mentioned above, the decision shall be taken by wisdom of UPEIDA and such a decision shall be acceptable to all concerned without any objections of whatsoever nature being raised by any party in this regard at any subsequent stage.

6.6 Agreement :

The selected Chartered Accountant entity, for the purpose of empanelment under reference, shall be required to enter into an Agreement with UPEIDA in the format that may be finalised by mutual consent between the selected Chartered Accountant entity and UPEIDA.

7 Other Aspects

7.1 Availing Document for Invitation of Application

The Document of EOI Application can be downloaded from the website <http://upeida.up.gov.in> up till the date and time of submission of Application as mentioned in the Invitation Application Notice. No fees are payable by Applicants to UPEIDA for this purpose.

7.2 Completeness of the Response

The response to this Invitation of Application should be full and complete in all respects. Submission of Application shall be deemed to have been done after careful study and examination of the Invitation of Application document with full understanding of its implications.

7.3 Cost of Application

No Cost for submission and processing of the Application has been prescribed. However, the Applicant is responsible for all the costs incurred in connection with participation in this process, including, but not limited to, the costs incurred in conduct of informative and other diligence activities, participation in meetings/discussions/ presentations if any, preparation of Application or in providing any additional information required by UPEIDA as also furnishing the same to UPEIDA in time. UPEIDA will in no case be responsible or liable for any of those costs, regardless of the conduct or outcome of the Application process. All materials submitted by the Applicant shall become the property of UPEIDA and may be returned at its sole discretion.

7.4 Submission of Queries

The following format is suggested for seeking queries, if any, by the prospective Applicants:

Subject: "Query for EOI for Appointment of Chartered Accountants in UPEIDA"		
Details of the query seeker	Name& Address of the Organization	
	Name & Position of the Person submitting query	
	Contact Details	Mobile: Telephone: Email:

Sl. No.	Reference of the Page / Section of the Document	Query/Points of clarification required

The queries may be sent by email at upeida.finance@gmail.com within the specified time. The response / clarification to the queries shall be communicated by UPEIDA to the concerned query-seeker and shall be posted on the website if such clarification is considered to be of general interest.

7.5 Amendment of Application Document

At any time before the deadline for submission of the Application, UPEIDA, may, for any reason, whether at its own initiative or in response to clarification(s) requested by a prospective Applicant, modify the Application Document by an amendment. All amendments will be binding on all participating Applicants. In order to afford prospective Applicants a reasonable time in which to take the amendment into account in preparing their Application, UPEIDA may, at its discretion, extend the last date for the receipt of Application. The Applicants are, therefore, advised to visit the website <https://upeida.up.gov.in> on regular basis for checking necessary updates. UPEIDA also reserves the right to amend the dates mentioned in this Document.

7.6 UPEIDA's Right to Terminate the Process

UPEIDA reserves the right to terminate the Application process at any time and without assigning any reason thereof. UPEIDA makes no commitments, express or implied, that this process will result in a business transaction with anyone. This Invitation of Application does not constitute an offer by UPEIDA.

7.7 Sealing, Marking and Submission of Application

The Application along with the relevant details / attachments may be sent manually through speed-post/courier on the aforementioned address. The Application in physical format shall be put in a large envelope containing the duly completed Application documents along-with all necessary supporting documents and superscribed as "Application for Empanelment of Consultant Chartered Accountant". This envelope must be kept inside another envelope that must be sealed, superscripted and sent as under:

Details to be mentioned exactly on sealed envelope	
EOI Details:	To,
I. Notice No.: UPEIDA/ 6338 / 2024	The Chief Executive Officer
II. “Application for Empanelment of Consultant Chartered Accountant”	U.P. Expressways Industrial Development Authority (UPEIDA) 2nd Floor, Paryatan Bhawan, C-13, Vipin Khand, Gomti Nagar, Lucknow-226010. India

The Application must be direct, concise, and complete in all respect. UPEIDA will analyse Applications based on its clarity and completeness of its response to the requirements as outlined earlier in this Document. The Application should be signed by an authorized person of the Applicant Entity. The Power of Attorney for signing of the Application should also be submitted. The CEO, UPEIDA, reserves the right to accept or reject any or all the Applications without assigning any reason.

Further, **additionally**, the Applications along with the relevant details / attachments, as furnished to UPEIDA in the physical format, may also be submitted electronically in pdf format through e-mail to upeida.finance@gmail.com, as already mentioned earlier, after 06:00 pm on 05 February 2024 within next two days. While sending additionally through email, the title / subject line of the email should be as “Application for Empanelment of Consultant Chartered Accountant”.

7.8 Late Submission of Application

Application(s) **not** reaching on or before the specified time limit and date will not be accepted.

8 Formats for Submission of Application

8.1 Annexure 1: Check-list for the documents to be submitted with Application

Sl. No.	Documents to be submitted	Suggested Format	Submitted (Y/N)	Documentary Proof, if any attached and Page No(s)
1	Check List for the documents to be submitted in Application (This Sheet duly filled in)	Annexure 1:		
2	Application Covering Letter	Annexure 2:		
3	Power of Attorney to the Authorized Signatory of the Application	--		
4	Copy of Certificate/ Firm Card issued by the Institute of Chartered Accountants of India valid as on 1st April, 2023 and any date thereafter	--		
5	Copy(ies) of Certificate issued by ICAI regarding acquiring of DISA in respect of the concerned CAs	--		
6	Balance Sheet and P&L Account for the year ended 31st March, 2023 and the certificate of turnover.	--		
7	Particulars of the Applicant	Annexure 3:		
8	The List of the companies registered under the Companies Act, 2013, and the Government Entities in respect of which the Applicant Entity has associated with as Chartered accountant in any capacity along with their turnover. (List of Companies / Government Entities having PPP/ BOT/ EPC Projects out of the aforesaid list may be given separately in this list.)	Annexure 4:		
9	The Details of the Practising Chartered Accountants on the rolls of the Applicant Entity along with their Bio Data	Annexure 5:		
10	The Declaration to the effect of not having been disqualified or black-listed	Annexure 6:		
11	Undertaking relating to Conflict of Interest	Annexure 7:		
12	Financial Proposal	Annexure 8:		
13	A self-attested copy each of Address Proof & KYC (PAN Card and AADHAR			
14	Any other aspect / declaration / submission necessary for the Applicant Entity as per the law of land or otherwise that the Applicant might like to highlight	Additional Sheets may be placed		

_____ (Signature)
(Name, Title, Address and Seal of Authorized Signatory)

8.2 Annexure 2: Covering Letter for Application for Consultant Chartered Accountant

[On the Letter- head of the Applicant]

Letter Reference No. :

Date:

To

The Chief Executive Officer,
U.P. Expressways Industrial Development Authority
2nd Floor, Paryatan Bhawan,
C-13, Vipin Khand, Gomti Nagar,
Lucknow-226010
India.

Ref: **Submission of "Application for Empanelment of Consultant Chartered Accountant: Cover Letter**

Sir,

Being duly authorized to represent and act on behalf of (hereinafter referred to as "the Applicant"), and having appropriately studied the Document for EOI issued by UPEIDA, regarding the captioned matter and fully understood the information provided by UPEIDA, the undersigned hereby does apply in response thereto for Empanelment of " Consultant Chartered Accountant". The Application may be processed accordingly.

We are enclosing our Application with the details as per the requirements of the Document of EOI as issued by UPEIDA, for your consideration and evaluation.

Yours faithfully,

(Signature)

(Name, Title, Address and Seal of Authorized Signatory)

8.3 **Annexure 3 : Format to share Particulars of the Applicant Entity**

Sl. No.	Item	Details (to be filled by the responder to the EOI Application)
1	Name of the Applicant Entity	
2	Registered Address	
3	Mobile / Landline Phone no. and Fax no.	
4	E-mail ID	
5	Website Address, if any	
6	Details of Applicant Entity's Registration with ICAI (Please enclose copy of the relevant registration document)	
7	Registration Number and Year of Registration	
8	Permanent Account Number (PAN)	
9	GST No.	
10	State where the Applicant Entity is having its Registered Office.	
11	Address(es) of the office of Applicant Entity in Lucknow	i. ii. iii. and onwards, as the case may be
12	Applicant Entity's Revenue for last 3 (Three) Financial years (Year wise) (Amount in Rs Lakh)	Year 1 (2022-23) :
		Year 2 (2021-22) :
		Year 3 (2020-21) :
13	Eligibility of the applicant for Consultant Chartered Accountant in UPEIDA	
a	Number of years of experience (complete years as on the date of Issue of this Document of Invitation of Application)	
b	Number of Full-Time Partners with the Applicant Firm	
c	Number of Practising Chartered Accountants as shown in the certificate of ICAI enclosed with the proposal	
d	Number of Practising Chartered Accountants having DISA Qualification	
e	Total Number of PSUs/ Private Sector Companies / Government Entities as audited / associated as CA by the Applicant in previous three Financial Accounting Years	
f	Out of above, Total Number of PSUs/ Private Sector Companies / Government Entities having turnover of Rs 10.00 crore or more	
g	Turnover of the largest such PSU/ Private Sector Company / Government Entity as referred to in item 'f' above, in Rs Crore	
h	Number of Companies / Government Entities, (audited / associated by the Applicant as Chartered Accountant), having PPP /BOT /EPC projects	

Contact Details of Authorised Signatory for future correspondence regarding the EOI process:

Details of Authorised Signatory	
Name	
Designation	
Address	
Mobile Phone Number	
Land Line Phone Number	
Fax	
E-mail ID	

(Signature)

(Name, Title, Address and Seal of Authorized Signatory)

8.4 Annexure 4: The List of the companies registered under the Companies Act or otherwise for which the Applicant has conducted Audit / Associated as CA

Sl. No.	Accounting Year	Name of the Company	Turnover of the Company / Entity (Rs Crore)
Accounting Year 2022-23			
A	PUBLIC SECTOR COMPANIES		
1			
2			
3			
4			
5			
B	PRIVATE SECTOR COMPANIES		
1			
2			
3			
4			
5			
C	GOVERNMENT ENTITIES ESTABLISHED UNDER SPECIFIC ACTS OR OTHERWISE		
1			
2			
3			
4			
5			
D	OUT OF THE ABOVE, THE COMPANIES / ENTITIES HAVING PPP/ BOT/ EPC PROJECTS IN ROAD SECTOR		
1			
2			
3			
4			
5			
Accounting Year 2021-22			
A			
B			
C			
D			
Accounting Year 2020-21			
A			

B			
C			
D			

Note :- 1. The rows in the table above are illustrative only. The Applicant may increase the number of rows to suit their requirements in the four categories as above for each of the three financial accounting years.

2. The details herein may please be given on Financial Accounting Year-wise basis separately for last three Financial Accounting Years and if a particular Company has been audited in successive years, its name may appear in each year.

(Ref.: Para 6.1 and Para 6.5 of the Document of EOI)

(Signature)

(Name, Title, Address and Seal of Authorized Signatory)

8.5 Annexure 5: The Details of the Practising Chartered Accountants on the rolls of the Applicant Entity (Bio-Data of each person and DISA Certificate of each concerned person to be attached to the Application)

(Ref.: Para 6.1, & para 6.5 of the Document of EOI)

Sl. No.	Name and Address	Professional Registration Number	Length of Experience (in Years & Months)	Whether DISA Qualified (Yes / No)
A	At Head Office of the Applicant Entity			
1				
2				
3				
4				
5				
6				
7				
8				
9				
10				
B	At State / Branch Office of the Applicant Entity in Lucknow			
1				
2				
3				
4				
5				
6				

Note : 1. The details herein may please be given in a Descending Order of Length of Experience of the Practising Chartered Accountant on the rolls of the Applicant Entity for each type of office. As indicated earlier, the Practising CAs would be those having the Certificate of Practice from the ICAI.

2. The appropriate evidence of their experience may be specifically furnished for each of these Practising Chartered Accountant.

3. The Certificate of DISA Qualification may be furnished for each concerned CA who has DISA qualification.

4. In the above list, against the name of the Practising Chartered Accountant who happens to be the Partner also, the word "Partner" may be added.

(Signature)

(Name, Title, Address and Seal of Authorized Signatory)

8.6 Annexure 6: The Declaration to the effect of not having been disqualified or black-listed

[On the Letter head of the Applicant]

Letter Reference No. :

Date:

To

The Chief Executing Officer,
U.P. Expressways Industrial Development Authority
2nd Floor, Paryatan Bhawan,
C-13, Vipin Khand, Gomti Nagar,
Lucknow-226010
India.

Ref:

Submission of "Application for Empanelment of Consultant Chartered Accountant": Declaration

Sir,

Being duly authorized to represent and act on behalf of (hereinafter referred to as "the Applicant"), and having appropriately studied the Document of EOI issued by UPEIDA regarding the captioned matter, having fully understood the information provided by UPEIDA in this Document and having examined the relevant records available in the office of the Applicant, the undersigned hereby does declare that the Applicant or any of the Chartered Accountants on its roll at present or in the past have not been disqualified or black-listed or debarred in any form by the Comptroller and Auditor General of India or any other Competent Authority.

Yours faithfully,

(Signature)

(Name, Title, Address and Seal of Authorized Signatory)

8.7 Annexure 7: The Undertaking relating to the Conflict of Interest*[On the Letter head of the Applicant]*

Letter Reference No. :

Date:

To

The Chief Executing Officer,
U.P. Expressways Industrial Development Authority
2nd Floor, Paryatan Bhawan,
C-13, Vipin Khand, Gomti Nagar,
Lucknow-226010
India.

Ref:

Submission of "Application for Empanelment of Consultant Chartered Accountant": Undertaking relating to Conflict of Interest

Sir,

Being duly authorized to represent and act on behalf of (hereinafter referred to as "the Applicant"), and having appropriately studied the Document of EOI issued by UPEIDA regarding the captioned matter, having fully understood the information provided by UPEIDA in this Document and having examined the relevant records available in the office of the Applicant, the undersigned hereby does undertake as follows:-

- (i) At present we have not been awarded any assignment by UPEIDA or any contractor, concessionaire, consultant associated with UPEIDA (except the Statutory Audit / Internal Audit / Special Audit assigned by UPEIDA for ----- work.
(delete whichever is not applicable);

Or

At present we have been awarded the following assignments by UPEIDA or any contractor/ concessionaire, consultant associated with UPEIDA (delete whichever is not applicable);

S. N.	Name of the UPEIDA Project, Nature / Description of assignment	Name of the Contractor, Concessionaire / Consultant	Value of the Assignment (Rs in lakhs)	Period of assignment From-to

- (ii) In case we are selected for the assignment, we shall not accept any direct / indirect employment / consultancy with the contractors / concessionaires / consultants of UPEIDA during the period of assignment.
- (iii) During the period within one year of completion of assignment, we shall not engage in discussion or make any agreement with the contractors / concessionaires / consultants of UPEIDA regarding employment /consultancy etc without prior permission of UPEIDA.
- (iv) We also undertake to withdraw from any or all of the assignments mentioned at S. No. (i) above if it results in a conflict of interest for this assignment.
- (v) We shall execute this assignment in an impartial and independent manner without disclosing any information to any person who is not authorised by UPEIDA to have an access to such information.
- (vi) UPEIDA has right to blacklist us for a minimum period of two years in case of above certification is found incorrect or we are found to have indulged in any activity so prohibited at any point of currency of the assignment.

Yours faithfully,

(Signature)

(Name, Title, Address and Seal of Authorized Signatory)

8.8 Annexure 8 : The Financial Proposal for Empanelment for “Consultant Chartered Accountant” in UPEIDA

<u>Application for appointment as Consultant Chartered Accountant”:</u>	
<u>Financial Proposal</u>	
1	Name of the Applicant
2	Complete Postal Address
3	<p>Consolidated amount of remuneration for work as Consultant Chartered Accountant in UPEIDA for the whole financial accounting year 2024-25 (including all costs to UPEIDA but excluding applicable taxes)</p> <p>[Please refer to the para 4. of the Document of EOI]</p>
4	Expected percentage increase for continuation of appointment in subsequent years at the discretion of UPEIDA

(Amount in Rupees - in both the words and the figures)

Notes:-

1. The GST shall be payable by UPEIDA, over and above the amount released from time to time in respect of the remuneration, as applicable at the time of such release of remuneration. Hence, the amount indicated as above should be exclusive of GST.
2. The Tax Deduction at Source shall be done in line with the rules applicable in this regard at the time of release of payments.
3. The Applicants may indicate in a separate sheet their schedule of payments expected by them at various points of time during their work but this schedule will not be the part of the competitive price bidding.

(Signature)

(Name, Title, Address and Seal of Authorized Signatory)