



PROJECT MANAGEMENT UNIT (PMU)
(ADB Assisted - Sustainable, Inclusive and Climate Resilient Tourism
Development at the Tehri Lake Area Project, Loan No. 4615-IND)

Uttarakhand Tourism Development Board
Pandit Deendayal Upadhyay Paryatan Bhawan
Near ONGC Helipad, Garhi Cantt, Dehradun- 248003, Uttarakhand
Ph-91-1352559898,2559900,2559987 Email - pmusicrtd@gmail.com

No: ADB/145/2026

Dated: 28/03/2026

Invitation for Quotation

IMPORTANT DATES AND SCHEDULE		
1	Date of Bid Notice Issued	02/04/2026
2	Name of Service	Internal Auditing Services Loan No.4615 SICRTD
3	Duration of Services Required	Six Years.
4	Due date and time	23/04/2026; at 3:00 PM
5	Technical Bid Opening Date	23/04/2026; at 3:30 PM
6	Estimated Value of Services	₹ 30.50 lacs
7	Earnest Money Deposit Required	₹ 91,500/- in the form of online RTGS/UPI transactions in the Project Account as per the given details.
8	Tender fee	₹ 5000+18% GST, i.e. ₹ 5,900/- in the form of online RTGS/UPI transactions in the given account as per the given details.
9	Project Bank Account Details for online tender fee and EMD remittance.	Account Holder Name: Project Director, Sustainable, Inclusive, and Climate Resilient Tourism Development A/c no: 585401000032 IFSC code: ICIC0005854 Bank Name: ICICI BANK Limited. Bank Address: Laxmi Tower, GMS Road, Dehradun
10	Tender web portal URL address	www.uktenders.gov.in
11	Contact Person for any query	Procurement Specialist Email: procurement.utdb@gmail.com



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DISCLAIMER

This Request for Quotation (RFQ) is not an offer by SICRTD (The Employer), but is an invitation to receive a quotation from eligible service providers, and no contractual obligation whatsoever shall arise from this RFQ process unless and until a formal contract is signed and executed between the Project Director and the selected service provider. This document should be read in its entirety. While all reasonable care has been taken in compiling this RFQ, the figures, documents and details are presented in good faith, and no warranty or guarantee (express or implied) is given by as to the completeness or accuracy of this RFQ or any information provided in or in connection with it SICRTD-PMU, officers and employees will not be liable in any way whatsoever for any loss, damage, cost or expense (including without limitation any liability arising from any fault or negligence on their part) arising from the evaluation process.



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REQUEST FOR QUOTATION

Package No.: NCS2

**CHARTERED ACCOUNTING FIRM FOR INTERNAL AUDITING OF
THE PROJECT FOR SIX YEARS (FY 2025-26 to FY 2030-31)**

Contract Ref.: **ADB/145/2026**

Source of Funding: **Asian Development Bank,**

Date of Issue of Request: **28/03/2026**

Deadline for submission of Quotation: **23/04/2026 at 15:00 Hrs.**

To

Madam/ Sir:

1. The Uttarakhand Tourism Development Board (UTDB) hereby requests the Comptroller & Auditor General of India, Empaneled Chartered Accountant Firm, to submit price quotation/(s) for the performance of the services described in the **Scope of Services** attached as **Appendix A** in these documents. If you, however, have been associated with the preparation of this **Scope of Services** that is the subject of this request, you shall be disqualified.

To assist you in the preparation of your price quotation, we enclose, in addition to the **Scope of Services**, the **Form of Quotation** and the Form of **Contract**.

2. If you/ your firm, however, fall under any of the following conditions, **your proposal shall not be considered:**
 - (a) You/ your firm are/is not a citizen/national of an ADB member country, or
 - (b) You/ your firm have/ has been associated with the firm that prepared the terms of reference or engaged in the preparation of the Project for which the contract that is the subject of this request for quotations was identified, or
 - (c) You/ your firm are/is owned by the Client, or
 - (d) You/ your firm are/is currently sanctioned or temporarily suspended by the Asian Development Bank for a violation of its Anticorruption Policy (1998, as amended to date) or
 - (e) The contracting of services from your country or any payment to persons or entities in your country is prohibited in compliance with a decision of the United Nations Security Council under Chapter VII of the Charter of the United Nations.
 - (f) A CA firm that is to be appointed as the Internal Auditor cannot be appointed as its Statutory Auditor and vice versa.
3. To be qualified, you must have experience as a Service Provider of the services covered by this **Request for Quotation**. As evidence, you must attach a document of your experience as a Service Provider of completed works of a size and nature similar to the requirements of this contract as listed



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below:

The details of the qualification criteria are mentioned in the Terms of Reference.

4. Your quotation/(s) should be submitted in accordance with the following instructions, procedures, and the terms and conditions of the **Contract**.

Preparation of Quotations

- (a) You shall submit the **Form of Quotation online through UK Tender Portal**, no offline documents shall be entertained in this matter.
- (b) Your quotation(s) should be valid for a period of 90 days from the deadline for submission of the quotation/(s) as indicated below. If you withdraw your quotation during the validity period and/or refuse to accept the award of a contract when and if awarded, then you will be excluded from the list of Service Providers for the project for two years.

Submission and Opening

- (c) Quotations shall be opened to the public, in the presence of participating Service Providers' representatives who choose to attend, at the time of bid opening at the following address:

The Project Director, SICRTB, UTDB,
Pandit Deen Dayal Upadhyaya,
Paryatan Bhawan,
Near ONGC Helipad,
Nimbuwala, Gharhi Cantt.
Dehradun, Uttarakhand-248003

Evaluation and Comparison

- (d) Quotations determined to be substantially responsive to this **Request for Quotation** will be evaluated by comparison of the evaluation criteria defined below. A quotation is not substantially responsive if it contains material deviations or reservations to the terms, conditions, and specifications in this **Request for Quotation**:
- a. Minimum Qualification Criteria:
- CAG Empanelment for the last three financial year from due date;
 - Latest ICAI or ICMAI Registration Certificate;
 - PAN of the Firm;
 - GST Registration Certificate of the Firm;
- b. Have performed internal Audit services for five similar services with Central/State Govt or External funded projects in India in last seven years.

Notes:

1. Ranking will be considered for the finalization of the Auditor and the lowest price bid shall be considered for selection as rank first.



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2. In a situation when more than two qualified bidders have quoted the same price then, the bidder with the higher turnover will be considered.
 3. Further, in a situation of a tie in the turnover, the bidder with the maximum experience of EAP projects will be considered.
 4. Performance Bank Guarantee equal to the 5% of the Contract Value shall be deposited in the form of a Fixed Deposit Receipt (FDR) in the name of the Project Director, Sustainable, Inclusive and Climate Resilient Tourism Development at Tehri Lake Area, UTDB.
 5. The first year of the assignment will start inclusive of the Retro Period of the project, starting from June 2024 and ending on 31st March 2026, and from the subsequent years, the assignment will be from 01st April to 31st March as a usual financial year.

(e) In evaluating the quotations, the Client will adjust for any arithmetical errors as follows:

- (f) where there is a discrepancy between amounts in figures and in words, the amount in words will govern; and
 - (ii) where there is a discrepancy between the unit rate (where applicable) and the line-item total resulting from multiplying the unit rate by the quantity, the unit rate as quoted will govern; and
- If you refuse to accept the correction/(s), your quotation will be rejected.

Duration of Contract

The Contract period shall be for six years from the date of signing of the Contract Agreement. (FY 2025-26, including Retro Finance Period and up to FY 2030-31)

Award of Contract

- (i) The Client shall award the contract to the Service Provider whose quotation has been determined to be substantially responsive to this Request for Quotation and who has offered the lowest price quotation.
 - (j) The Service Provider whose quotation has been accepted will be notified by the Client in due course of time.
 - (k) The successful Service Provider shall sign the Contract governed by the annexed Contract Terms and Conditions. The service provider shall quote the prevailing GST rate in the price schedule; however, GST shall be payable at the prevailing rates at the time of invoicing.
5. Further information/ clarification can be obtained from the office of:
The Project Director, SICRTB, UTDB,
Pandit Deen Dayal Upadhyaya,
Paryatan Bhawan,
Near ONGC Helipad,
Nimbuwala, Gharhi Cantt.
Dehradun, Uttarakhand-248003
Telephone: 0135-3512192
Email: procurementsicrtd@gmail.com
6. The Client intends to apply funds from the Asian Development Bank (ADB) for eligible payments



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under the Contract resulting from this Request for Quotation.

7. Under ADB's Anticorruption Policy (1998, as amended to date), Service Providers shall observe the highest standard of ethics during the procurement and execution of such contracts. ADB may reject a proposal for award, and may impose sanctions or other remedial actions on parties involved, if it determines that the Service Provider recommended for award or any other party, directly or through an agent, has engaged in corrupt, fraudulent, collusive, coercive, or obstructive practices or other integrity violations in competing for, or in executing, the Contract. At the time of submission of your quotation, you should not be in ADB's sanctions list. A firm/individual shall not be eligible to participate in any procurement activities under an ADB-financed, - administered, or -supported project while under temporary suspension or debarment by ADB pursuant to its Anticorruption Policy, whether such debarment was directly imposed by ADB, or enforced by ADB pursuant to the Agreement for Mutual Enforcement of Debarment Decisions.
8. You/ your firm, joint venture partners, associates, parent company, affiliates or subsidiaries, including any subcontractors or suppliers for any part of the Contract, are not, or have never been, temporarily suspended, debarred, declared ineligible, or blacklisted by the client's country, any international organization, or other donor agency.
9. If so debarred, declared ineligible, temporarily suspended, or blacklisted, please state details (as applicable to each joint venture partner, associate, parent company, affiliate, subsidiaries, subcontractors, and/or suppliers):
 - a) Name of Institution: _____
 - b) Period of debarment, ineligibility, or blacklisting (start and end date): __
 - c) Reason for the debarment, ineligibility, or blacklisting: _
10. You/ your firms, joint venture partners', associates', parent company's affiliates or subsidiaries', including any subcontractors' or suppliers', key officers and directors have not been [charged or convicted] of any criminal offence (including felonies and misdemeanors) or infractions/violations of ordinance which carry the penalty of imprisonment.

If so charged or convicted, please state details

 - (a) Nature of the offence/violation: _____
 - (b) Court/Area of jurisdiction: _____
 - (c) Resolution (i.e. dismissed; settled; convicted/duration of penalty): _____
 - (d) Other relevant details:
11. You/ your firm understands that it is your obligation to notify ADB should you/your firm, joint venture partners, associates, parent company, affiliates or subsidiaries, including any Subcontractors or Suppliers, be temporarily suspended, debarred or become ineligible to work with ADB or any other multilateral development banks, the client's country, international organizations, and other donor agencies, or any of your key officers and directors be charged or convicted of any criminal offence or infractions/violations of ordinance which carry the penalty of imprisonment.



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12. Any misrepresentation that knowingly or recklessly misleads, or attempts to mislead may lead to the automatic rejection of the quotation/bid or cancellation of the contract, if awarded, and may result in remedial actions, in accordance with ADB's Anticorruption Policy (1998, as amended to date) and Integrity Principles and Guidelines (2015 as amended from time to time).
 13. A bidder shall not have a conflict of interest. All bidders found to have a conflict of interest shall be disqualified.
 14. Please confirm by fax/e-mail the receipt of this request and whether or not you will submit the price quotation(s).
 15. Payment Terms: Shall be mutually agreed based on deliverables and time period as per the price bid



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Contract

Name of Country: India

Project Name: SUSTAINABLE, INCLUSIVE, AND CLIMATE-RESILIENT TOURISM DEVELOPMENT AT TEHRI LAKE AREA PROJECT
LOAN NO: 4615-IND, PROJECT NO: 57213-001

Name of Contract: Engagement of Internal Auditor for six years from FY 2025-26 to FY 2030-31
Contract Number:

This Contract is entered into on ----- day of April month, 2026, between _____[*name of Client*]

_____ (hereinafter called "the Client") on the one part, and _____[*name of Service Provider*]

_____ (hereinafter called "the Service Provider") on the other part. Whereas the Client has requested a quotation for _____[*description of services*] to be performed by the Service Provider in accordance with the **Contract**, and has accepted the Quotation by the Service Provider in the amount of _____[*amount in words*]_____ [amount in figures] hereinafter called "the Contract Price".

The Client and the Service Provider agree as follows:

1. The following documents shall be deemed to form and be read and construed as part of this Contract, viz:
 - a) **Form of Quotation**, with **Scope of Services** and **Appendix [and Price Schedule under Option B form of quotation]**; and
 - b) Contract Terms and Conditions;
2. Taking into account payments to be made by the Client to the Service Provider as hereinafter mentioned, the Service Provider hereby enters into this Agreement with the Client to execute and complete the performance of services under the Contract.
3. The Client hereby agrees to pay, in consideration of the successful performance of the services, the **Contract Price** as indicated and accepted in the **Form of Quotation**, under payment terms stipulated in the **Contract Terms and Conditions**.

IN WITNESS whereof, the parties hereto have executed the **Contract** under Applicable laws.

Signature and seal of the Client:

For and on behalf of

Name of Authorized Representative

Signature and seal of the Service Provider:

For and on behalf of

Name of Authorized Representative



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Contract terms and conditions

Project Name: SUSTAINABLE, INCLUSIVE, AND CLIMATE-RESILIENT TOURISM DEVELOPMENT AT TEHRI LAKE AREA PROJECT **LOAN NO:** 4615-IND, **PROJECT NO:** 57213-001

Client: The Project Director, SICRTB, UTDB, Pandit Deen Dayal Upadhyaya, Paryatan Bhawan, Near ONGC Helipad, Nimbuwala, Gharhi Cantt. Dehradun, Uttarakhand-248003

Contract No.__

1. Definitions

- (a) "Contract" means the agreement entered into between the Client and the Service Provider, together with the Contract Documents referred to therein, including all attachments, appendices, and all documents incorporated by reference therein.
- (b) "Contract Documents" means the documents listed in the Contract, including any amendments thereto.
- (c) "Contract Price" means the price payable to the Service Provider as specified in the Contract, subject to such additions and adjustments thereto pursuant to the Contract.
- (d) "Completion" means the fulfilment of the committed services by the Service Provider in accordance with the terms and conditions set forth in the Contract.
- (e) "Client" means the entity purchasing the Services.
- (f) "Services" means the services the Service Provider will perform as specified in the Scope of Services in Appendix A.
- (g) "Service Provider" means the natural person, private or government entity, or a combination of the above, whose bid to perform the Contract has been accepted by the Client and is named as such in the Contract.
- (h) "ADB" is the Asian Development Bank.

2. Applicable Law

The Contract shall be interpreted in accordance with the laws of the Client's country.

3. Language

All communications and documents related to the Contract shall be in English.

4. Assignment

Any assignment of this Contract or of any rights hereunder, in whole or in part, without the prior written consent of the Client shall be void.



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5. Fraud and Corruption

This Contract shall be covered by the provisions of ADB's Anticorruption Policy (1998, as amended to date) and Integrity Principles and Guidelines (2015, as amended from time to time) that requires Borrowers (including beneficiaries of ADB-financed activity), as well as Service Providers and Contractors under ADB- financed contracts, to observe the highest standard of ethics during the procurement and execution of such contracts.

6. Performance of the Services

The Service Provider shall carry out the Services with due diligence and efficiency and shall furnish to the Client such information related to the Services as the Client may from time to time reasonably request. The Service Provider shall at all times cooperate and coordinate with the Client with respect to the performance of the Services.

7. Required Performance Standards (with attachments as necessary to be prescribed by Client.)

(a) General Description

(b) Specific Standards

(c) Performance Parameters

Service Provider confirms compliance with the above standards and parameters.

8. Service Completion Schedule

The services should be completed as per the schedule indicated in the **Scope of Services**, but not exceeding **thirty-six months** from the date of signing of the contract.

9. Taxes and Duties

The Service Provider shall be entirely responsible for all taxes, duties, license fees, etc., incurred until completion of the services to the Client.

10. Payment

Upon submission by the Service Provider of claim and subsequent verification of the claim by the Client, payment of the contract price shall be made in the following manner:

In accordance with the Price Schedule, the amount resulting from multiplying the claimed and verified quantity of the item or activity with the unit price indicated in the accepted Form of Quotation.

11. Resolution of Disputes

The Client and the Service Provider shall make every effort to resolve amicably by direct informal negotiation any disagreement or dispute between them under or in connection with the Contract. In the case of an unresolved dispute, the dispute shall be settled in accordance with the provisions of the arbitration law or the rules of India.



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12. Independent Service Provider

Nothing contained in this Contract shall be construed as establishing or creating the relationship of master and servant, employer and employee or principal and agent between the Client and the Service Provider, or his employees or agents or other persons engaged by the Service Provider to perform any of the services.

13. Intellectual Property Rights

Intellectual Property Rights: (a) The Service Provider shall indemnify the Client from and against any and all claims, liabilities, obligations, losses, damages, penalties, actions, judgments, suits, proceedings, demands, costs, expenses and disbursements of whatsoever nature that may be imposed on, incurred by or asserted against, the Client during or in connection with the Services by reason of:

(i) infringement or alleged infringement by the Service provider of any patent or other protected right, or (ii) plagiarism or alleged plagiarism by the Service provider.

14. Failure to Perform

The Client may terminate the Contract if the Service Provider fails to perform the services, in accordance with the above terms and conditions, by a 30-day notice given by the Client, without incurring any liability to the Service Provider. In the event of such termination, the amount due under the Contract shall be subject to equitable adjustment.

15. Termination Due to Integrity Violation

The Client may terminate this Contract, in whole or in part, if the Service Provider, in the judgment of the Client, has engaged in integrity violations in accordance with Clause 5 [Fraud and Corruption], in competing for or in executing this Contract.

16. Other Grounds for Termination

The Client may also terminate this Contract, in whole or in part, if the Service Provider becomes insolvent, bankrupt or gives the Client reasonable evidence of its inability to complete the Services as specified, or fails to correct any non-conformity in the Services or performs in bad faith by willfully not observing the terms and conditions of this Contract.

17. Force Majeure

The Service Provider shall not be liable for penalties or termination for default if and to the extent that its delay in performance or other failure to perform its obligations under the Contract is the result of an event of Force Majeure.

(a) For purposes of this Clause, "Force Majeure" means an events beyond the control of the Service Provider and not involving the Service Provider's fault or negligence and not foreseeable. Such events may include, but not restricted to, act of Client in its sovereign capacity, wars or revolutions, fires, floods, epidemics, quarantine restrictions, and freight embargoes.

(b) If a Force Majeure situation arises, the Service Provider shall promptly notify the Client in



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writing of such condition and the cause thereof. Unless otherwise directed by the Client in writing, the Service Provider shall continue to perform its obligations under the Contract as far as is reasonably practical, and shall seek all reasonable alternative means for performance not prevented by Force Majeure event.

18. Accounts and Records

- (a) The Service Provider shall keep accurate and systematic accounts and records in respect of the Services in such form and detail as are customary in its profession and are sufficient to establish accurately that the costs have been duly incurred.
- (b) Notwithstanding anything to the contrary stated herein, the Service Provider shall maintain accounts and records, including original receipts, invoices and other supporting documents evidencing payments made by the Service Provider under this Contract, for the period of the Services and for a period no less than 3 years after the expiration or termination of this Contract.
- (c) The Service Provider shall permit ADB to inspect the accounts, records, and other documents relating to the submission of bids and contract performance of the Service Provider and to have them audited by auditors appointed by ADB.

19. Suspension of ADB Loan or Credit.

In the event that ADB suspends the Loan or Credit to the Client, from which part of the payments to the Service Provider are being made, the Client is obligated to notify the Service Provider, with a copy to the Client's representative, of such suspension within 7 days of having received ADB's suspension notice.

20. Termination Notice Due to Non-payment

If the Service Provider has not received payments due within the 45 days as provided for in Clause 11 [Payment], the Service Provider may immediately issue a 14-day termination notice.



Appendix A

Project internal auditors – indicative scope of work

A. Objective

1. The objectives of the internal audit are to (i) review the adequacy and efficiency of the governance and control processes in the project financial management arrangements, and (ii) provide the project management with timely information on financial management aspects of the project to enable appropriate corrective / follow-up action. The Internal Auditor shall be responsible for internal checks and controls to ensure reliability and efficacy of the systems/procedures for project management aimed at transparency and compliance with the relevant guidelines/rules.

The internal auditor will be given access to all project financial documents, including loan and project agreements, the project administration manual, correspondence, books of accounts, financial records and manuals, notices from project management and implementation units, and any other information associated with the project as deemed necessary by the auditor.

B. Scope of Work

2. The internal auditor shall provide internal audit services quarterly as per an approved internal audit plan and following internal audit standards issued by the Institute of Chartered Accountants of India (ICAI). The scope of work of the internal auditor is to determine whether the project's risk management, controls, and compliance processes, as designed and represented by management, are adequate and functioning. Control frameworks are developed in compliance with the government of India and the government of Uttarakhand rules and regulations, requirements outlined in the externally financed loan and project agreements, and project administration manuals and the disbursement handbook, as well as international standards such as the Committee of Sponsoring Organisations model. The internal audit will include tests and controls as the auditor considers necessary under the circumstances. When conducting an internal audit, special attention should be paid to the following:
 - (i) Ensure that the accounting and financial management systems remain reliable and effective in design, and to assess the extent to which they are being followed.
 - (ii) Review the efficacy, adequacy and application of accounting, financial and operating controls and thereby ensure reasonable assurance of the books of accounts;
 - (iii) Verify that the system of internal checks is effective in design and operation to ensure the prevention of and early detection of defalcations, frauds, misappropriations and misapplications.
 - (iv) Identify areas of significant inefficiencies in the existing systems and suggest necessary remedial measures.
 - (v) Confirm the existence of financial propriety in all decisions and verify compliance with government and statutory requirements as well as ADB requirements, where applicable.
 - (vi) Confirm that the agreed procurement procedures and arrangements have been followed for works, goods and services;
 - (vii) Check that all expenditure incurred has the necessary supporting documents and has been incurred in accordance with the Government of India rules, accounting standards and relevant financing agreement with Asian Development Bank (ADB);
 - (viii) That adequate records are maintained regarding the assets created and assets acquired by the project, including details of cost, identification, and location of assets;



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- (ix) That annual physical verification of assets is being carried out with due diligence;
 - (x) Review the reliability and integrity of financial and operating information and the means used to identify, measure, classify, and report such information;
 - (xi) Review and appraise the economy and efficiency with which resources are employed;
 - (xii) Review operations or programs to ascertain whether results are consistent with established objectives and goals and whether the operations or programs are being carried out as planned;
 - (xiii) Conduct an audit of the accounting software/ application used by the project to ascertain reasonable assurance;
 - (xiv) Ascertain that the internal control system, including financial and operational controls, accounting system and reporting structure, is adequate and effective;
 - (xv) Suggest ways and means for mitigation of risks associated with the existing procedures/systems;
 - (xvi) Monitor compliance with the best practices of corporate governance and identification of significant deviations thereof;
 - (xvii) Ascertain the integrity, reliability and completeness of financial and other information provided to management and stakeholders, including that used in decision making;
 - (xviii) Identify financial control and processes weaknesses, make recommendations for improvement;
 - (xix) Comment on the effectiveness of the mechanisms available at the MSWWDA and PIUs for ensuring compliance with observations of the earlier audit reports. The IA shall report on the corrective action taken on the observations of the earlier audit reports and list out the serious observations made by them that have not yet been complied with.
 - (xx) Conduct verification and confirmation of audited utilization certificates submitted by watershed committees.

3. Deliverables

The internal auditor would submit quarterly reports. The report shall contain the records verified, deviations, if any, the adequacy of internal controls and the adherence to ADB and Government rules and regulations, orders made from time to time under the project. The report should be discussed and agreed with the auditee and should be structured in a manner giving the observations, the implications of the observations, the suggested recommendation, the management comments/ agreed actions and the timeline of implementation. In addition, the internal auditor should provide an Executive Summary highlighting the critical issues that require the attention of the IA and PMU and the status of actions on the previous recommendations, including pending external audit recommendations. The audit observations should be supported by instances and quantified, as far as practicable.

The quarterly audit reports should be submitted within 30 days from the end of the audit review period with an executive summary and a management letter. The reports will be submitted to the Project Audit Review Committee

The Internal Audit is to be conducted on a quarterly basis for all sub-projects under UTDB, and the report should be discussed with the PMU UTDB. The Schemes are given below:

The auditor will provide a complete set of the Financial Statements and a detailed report to Project Management, highlighting findings during the period under review. This will be in the form of a Management Letter, which will inter alia include:

- a. Comments and observations on the financial management records, systems and controls that were examined during the course of the review.
- b. Deficiencies and areas of weakness in systems and controls, and recommendations for



PROJECT MANAGEMENT UNIT (PMU)

(ADB Assisted - Sustainable, Inclusive and Climate Resilient Tourism Development at the Tehri Lake Area Project, Loan No. 4615-IND)

Uttarakhand Tourism Development Board

Pandit Deendayal Upadhyay Paryatan Bhawan

Near ONGC Helipad, Garhi Cantt, Dehradun- 248003, Uttarakhand

Ph-91-1352559898,2559900,2559987

Email - pmusicrtd@gmail.com

their improvement.

- c. Compliance with covenants in the financing agreement and comments, if any, on internal and external matters affecting such compliance.
- d. Matters that have come to attention during the review and might have a significant impact on the implementation of the Project.
- e. Any special review procedures required of a compliance nature (for example, compliance with the procurement procedures, procedure for selection of consultants, etc., recommended by the ADB).
- f. Status of compliance with previous report and,
- g. Any other matters that the auditor considers pertinent.

The Executive Summary should normally cover the following items;

- a. Objectives of the audit;
- b. Methodology of the audit;
- c. The status of implementation of the financial management system;
- d. The status of compliance of the previous audit reports, including major external audit observations pending compliance;
- e. The key areas of weakness that need improvement;
- f. Recommendations for improvements.

I. Minimum Qualification Requirements

The firm shall meet the following eligibility criteria:

- i. It must be a firm of chartered accountants registered with the Institute of Chartered Accountants of India (ICAI);
 - a. Head, internal audit – Professional member of the ICAI or ICMAI with at least 10 years of experience in internal auditing, preferably including experience in internal auditing in the public sector.
 - b. Team Members - Professional member of the ICAI or ICMAI with at least 5 years of experience.
- ii. It must be independent of DoT/UTDB;
- iii. It must be empanelled with the Comptroller and Auditor General for the last 3 financial years, and the applicant must attach the latest empanelment letter;
- iv. It should be in the audit profession and have performed internal audit services for at least five similar internal audit assignments with the central government, the state government, or externally funded projects in India in the past 7 years. Also to be favourably considered are internal audit assignments completed for large companies or corporations of substantial public interest or for government departments executing government schemes or projects.
- v. It should be able to apply standards of internal audit issued by ICAI;
- vi. Preference will be given to firms that have executed internal audit assignments for projects financed by a multilateral development bank (ADB/World Bank /JICA /NDB).

1. SUPPORTING DOCUMENTS The supporting documents must include, but not necessarily be limited to, the following:

- Copy of Empanelment Certificate in case of empanelment with CAG.
- Copy of registration certificate for GST, PAN.
- Copy of Statement of Profit and Loss Account certified by chartered accountants together with a certified copy of the audited Balance Sheet.
- Copy of completion certificate along with a letter of Award of a similar nature and magnitude of the project.



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-
- Copy of the Constitution of the Firm from the ICAI LLP Agreement (if any).
 - Fellow/ Associate Member certificates of all the Partners
 - Intermediate certificate of ICAI for all staff who will work as Audit Assistants for this assignment
 - Copy of ITCC for the last three years
- J. Person Months Requirements**
- 2.** The consulting service will be implemented from 1st April 2025 (or date of signing) to 31st March 2031, with intermittent person-month inputs of a minimum 12 person-months throughout the Project Period, which is annexed herewith.
- K. Reporting**
- The internal auditor would submit quarterly reports. The report shall contain the records verified, deviations, if any, the adequacy of internal controls and the adherence to ADB and Government rules and regulations, orders made from time to time under the project. The report should be discussed and agreed with the auditee and should be structured in a manner giving the observations, the implications of the observations, the suggested recommendation, the management comments/ agreed actions and the timeline of implementation. In addition, the internal auditor should provide an Executive Summary highlighting the critical issues that require the attention of the IA and PMU and the status of actions on the previous recommendations, including pending external audit recommendations. The audit observations should be supported by instances and quantified, as far as practicable.
- 3.** The quarterly audit reports should be submitted within 30 days from the end of the audit review period with an executive summary and a management letter. The reports will be submitted to the Project Audit Review Committee (PARC).
- 4.** The auditor will provide a detailed report to Project Management highlighting findings during the period under review. This will be in the form of a Management Letter, which will inter alia include:
- a. Comments and observations on the financial management records, systems and controls that were examined during the course of the review.
 - b. Deficiencies and areas of weakness in systems and controls, and recommendations for their improvement.
 - c. Compliance with covenants in the financing agreement and comments, if any, on internal and external matters affecting such compliance.
 - d. Matters that have come to attention during the review and might have a significant impact on the implementation of the Project.
 - e. Any special review procedures required of a compliance nature (for example, compliance of the procurement procedures, procedure for selection of consultants, etc. recommended by the ADB.
 - f. Status of compliance to the previous report and
 - g. Any other matters that the auditor considers pertinent.
- 5.** The Executive Summary should normally cover the following items: -
- i. Objectives of the audit;
 - ii. Methodology of the audit;
 - iii. The status of implementation of the financial management system;
 - iv. The status of compliance of the previous audit reports, including major external audit



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observations pending compliance;

v. The key areas of weakness that need improvement;

6. Other Terms and Conditions.

- (i) The RFQ is not entitled to any compensation for the expenses incurred in connection with the preparation and submission of RFQs.
- (ii) Currencies for bid and payment shall be in Indian Rupees only.
- (iii) The successful bidder would ensure that the information obtained during the audit in respect of UTDB is maintained in strict confidence and secrecy. An undertaking towards maintaining confidentiality is to be provided by the successful bidder.
- (iv) The manpower engaged by the successful bidder Audit firms for UTDB Audit work shall be the employees of the bidder Audit firms for all intents and purposes. The manpower should be engaged on a need basis and should not be engaged on a required basis in a year for the subject contract.
- (v) The Audit firms have to withdraw the manpower deployed by them after expiry/ completion/ termination of the contract, and the Client/ Employer will not take any responsibility for them

7. Minimum Team Composition, Qualification and Experience Requirements for the Key Experts on annual basis. The audit team will comprise, at a minimum, the following personnel whose CVs will be evaluated based on qualifications and experience in carrying out internal audits of similar projects. Experience on externally-financed projects is preferred.

SL No	Key Experts	Description of Service to be provided	Minimum Qualifications and experience	No of Experts	Man-days in a Year
1	Senior Auditor	Team leadership, Reporting Liaison with the client	Qualified as a Chartered Accountant, 10 years post-qualification experience as a practising Chartered Accountant with continuous employment with the firm	One	16
2	Audit Assistant	Audit at the PMU Office of UTDB for preparing reports for the Senior Auditor.	Inter CA with 5 years' experience in Audit of a Government Agency or EAP	Two Number	64
Total Expected man-days per annum					80 Man-days

The total expected per annum man-days is indicative only; it may increase/ decrease as per scope requirement.

8. Payment Terms and Schedule:

The professional fee will be paid quarterly after the PMU UTDB competent authority approval of the audit and submission of tax invoices. No proposal for variation will be allowed during the contract period. TDS as per IT/GST rules will be deducted at applicable rates from all payments

Sr No	Project Deliverables	Payment Schedule
1	Within One Month from the end of the particular quarter or submission of the Internal Audit Report for the quarter	Fees shall be paid on the actual Mandays deployed in a quarter on submission of Tax Invoice for the same.



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	concerned, up to the first three quarters. And for the fourth quarter, along with the financial statements for the particular Financial Year.	
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9. General:
The Internal Auditor will be given full access to all documents, correspondence and any other information relating to the project and deemed necessary by the Auditor.



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Attachment -1

Application form for Internal Audit Assignment

(Please strike off whichever is not applicable)

Sr. No.	Particulars	Details				
1.	a)	Name of the firm (in Capital letters)				
	b)	Address of the Head Office				
	c)	Name of the Senior Partner, who shall issue/sign the Internal Audit report.				
	d)	Telephone Number				
	e)	E-mail address				
	f)	PAN of the firm				
	g)	GST No.				
2.	Firm Registration No. (As Issued by the Institute of Chartered Accountants of India)					
3.	Date of Incorporation (as per the certificate issued by Institute).					
4.	Number of full partners of the firm as on the date of RFQ					
5.	Number of qualified Chartered Accountants employed with the firm					
6.	Number of Semi-qualified and Article Assistants/Audit Staff.					
7.	Whether the firm has experience of Internal Audit in at least as specified in TOR as on the date of RFQ-		Yes	No		
	8. As per the TOR, whether the firm has adequate experience and Annual Turnover.		Yes	No		
9	Whether the firm has conducted an Audit as expected in the TOR		Yes	No		
10.	Whether the firm has at least one partner with a DISA (Diploma in System Audits) /CISA (Certified Information Systems Auditor) qualification as on the date of submission of RFQ. (If yes, please attach DISA/CISA self-attested certificate along with the RFQ		Yes	No		
11.	Whether the firm has Branch offices in Uttarakhand and North India.		Yes	No		
12	Average Annual Turnover		FY 2022-23	FY 2023-24	FY 2024-25	Average Annual Turnover in Rs.
	In INR.					

(Name & Signature of Managing/ senior partner of the firm with seal)



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Attachment 2

Details of Full-Time Partners of the Firm as on the date of RFQ

Firm's Name _____

S. No.	Name of the Partner	Membership No.	Whether Associate/ Fellow member	Additional Qualification CISA/DISA/ etc./ Equivalent)	Date of joining the Firm as a partner (Full-time)

Please attach a copy of the Membership certificate and CISA/DISA certificate in support of above.

(Name & Signature of Managing/ senior partner of the firm with seal)



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Attachment 3

Details of Qualified Chartered Accountants/Cost Accountants employed with the firm as on the date of RFQ.

Firm's Name _____

Sr. No.	Name of the Chartered Accountant	Membership No.	Whether Associate/ Fellow member	Additional Qualification CISA/DISA/ etc.	Date of joining the firm (Full-time)

Please attach a copy of the Membership certificate and CISA/ DISA certificate /equivalent in support of the above.

(Name & Signature of Managing/ senior partner of the firm with seal)



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Attachment 4

Details of Semi-qualified Assistants as on date of RFQ

Firm's Name _____

(Please refer to Sl. No.6 of the application form at Annexure E)

Sr. No.	Name	Qualification	Date of joining the firm (Full-time)

Details of other Audit Staff/ Article/audit assistants as on date of RFQ (Please refer to Sl. No.6 of the application form at Annexure E)

Sr. No.	Name	Qualification being studied or completed	Date of joining the firm (Full-time)

(Name & Signature of Managing/ senior partner of the firm with seal)



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Attachment –5

List of the Firm's experience of Internal Audit carried out in last 7 years, as on date of RFQ

Firm's Name _____

Sr. No.	Year of Audit	Name of the Agency	Type of Audit: Internal	Professional Fee received from the Contract

Please attach the copies of the work order/letter placed by the above agency on the firm's name, along with copies of relevant documents (experience certificate /completion certificate) supporting completion of the Audit

(Name & Signature of Managing/ senior partner of the firm with seal)



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Attachment –6 Project Experience

Please indicate the names of at least 5 Govt. Agency/ EAP whose Internal audit has been handled by the firm

Firm's Name _____

Sr. No.	Name of the Govt. Agencies/ EAP	Year of Audit	Type of Audit: Internal	Professional Fee received for the Contract in Rs.

Please attach the copies of work order/letter placed by companies on the firm's name, along with copies of relevant documents (experience certificate /completion certificates) supporting completion of the Audit.

(Name & Signature of Managing/ senior partner of the firm with seal)



PROJECT MANAGEMENT UNIT (PMU)
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Attachment 7 Office Location

Firm's Name _____

Please mention the name and address of your Branch offices in India at the locations at Uttarakhand and native places:

Sr. No.	Location	Address of Branch Offices in India
1		
2		
3		
4		

Please attach the copy of branch incorporation issued by institute of Chartered Accountant.

(Name & Signature of Managing/ senior partner of the firm with seal)



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Attachment –8
List of documents attached

Firm's Name _____

Sr. No.	Name of Document	Document attached		
		Yes	No	At Page No.
<u>PART I: TECHNO-COMMERCIAL BID</u>				
1.	Duly signed & stamped copy of GST Registration Certificate.			
2.	Duly signed & stamped copy of PAN Card (in the name of the Firm)			
3.	Duly signed & Attachment 1 to Attachment 9			
4.	Duly signed & stamped copy of Undertaking Sheet			
5.	Duly signed & stamped copy stating Particulars of partners, qualified Chartered Accountants and Article assistants/ Audit staff, along with Membership Certificate copies of partners, qualified Chartered Accountants.			
6.	A copy of the Constitution certificate issued by the Institute of Chartered Accountants of India.			
7.	A copy of the Firm's constitution certificate of the firm issued by the Institute of Chartered Accountants of India/ to the firm containing inter alia, the details of partners as on the date of RFQ.			
8.	Duly signed & stamped copy of Agency/ Project-wise experience of experience certificates			
9.	Duly signed & stamped copy of work orders/Letter of Awards placed by Companies/ organizations/ co-operatives and other companies in your firm's name.			
10.	DISA/ CISA certificate, duly signed & stamped copy, along with the RFQ			
11.	Duly signed & stamped copy of the Constitution certificate issued by the Institute of Chartered Accountants of			
12.	Duly signed & stamped copy of the Firm's constitution certificate of the firm issued by the Institute of Chartered Accountants of India/ Institute of Cost Accountants of India to the firm, containing inter alia, the details of partners as of the date of RFQ.			
13.	Duly signed & stamped copy of LIST OF DOCUMENTS ATTACHED- Please mention separately			
14.	Duly signed & stamped copy of Tax Compliance Clauses Related to GST- Please mention separately			
15.	Duly signed & stamped copy of Disciplinary Clauses- Please mention separately			

(Note: All the above documents should be signed, certified, page numbered and properly tagged.)

(Signature of Managing/ senior partner of the firm with seal)



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Attachment –9 Draft internal audit report

File No.: _____ Dated: _____

1.0 Draft Report Number and Subject:

- i) Date of submission:
- ii) Due date of submission:

1.0 Name of the Auditee Unit/Office:

1.0 Period covered in the Audit:

1.0 Date of start/completion of Audit:

1.0 Detail/Names of Auditors:

1.0 Audit Scope/Area of transactions covered in the Audit and extent of verification/sampling technique:

(Actual area covered may be indicated here, in brief, even if there is no observation. If required, a separate sheet may be attached.)

Sr. No.	Particulars/ Area Audited	Scope and extent covered as per the scope defined	Draft Audit Observations
1.			
2.			
3.			

1.0 Methodology and process of Audit employed:

8.0 Brief of the Internal Control Systems/Procedures examined for its Adequacy, shortcomings/weaknesses/appreciable points observed and suggested measures/viable solutions suggested:

1.0 Constraints in Conducting the Audit:

Final Audit report, executive summary and significant observations indicating there in the financial implications and risk category (High/Medium/Low) will be given after receipt of replies from the Auditees (**Attachments 9 and 10**):

(Signature) Name & Address of the Auditors/Firm



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Attachment-10 Compliance Report

Dated: _____

Report No. _____

Sr. No.	Draft Audit Queries/ Observations	Reply as given by the Auditee Unit/ Office	Internal Auditor's Final Comments/ Suggestions with Financial Implications	Grading of Risk (High/ Medium/ Low)

Signature
Name & Address of the Auditors/Firm



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Attachment-11

Non-disclosure agreement

The Project Director, SICRTB, UTDB,
Pandit Deen Dayal Upadhyaya,
Paryatan Bhawan,
Near ONGC Helipad,
Nimbuwala, Gharhi Cantt.
Dehradun, Uttarakhand-248003

Dear Sir:

I, the undersigned, _____, an employee of ("the Service Provider"), have been assigned to carry out work in connection with [Contract No. and Service Details] (the "Contract"). In connection with the carrying out of such work, I acknowledge that I may be given access to, receive or generate, directly or indirectly, data and information which may be considered "Confidential Information", as defined below.

I represent, warrant, covenant and agree as follows:

- 1) Neither to use, copy or reproduce nor permit the use, copying or reproduction in any form of any Confidential Information other than solely in connection with carrying out responsibilities under the Contract, except with prior written approval of the [authorized representative/s of PMU, UTDB];
- 2) Neither to provide or disclose nor permit the provision or disclosure, orally, electronically or otherwise, either directly or indirectly, of any Confidential Information, or any copy, summary or extract thereof, to any third party or any PMU staff who does not require such Confidential Information for the carrying out of his/her duties to MSWWDA except with prior written approval of the [authorized representative/s of PMU, UTDB];
- 3) Upon termination for any reason of my involvement in the Contract, I shall promptly (and in any case within seven (7) calendar days after written request from PMU) return to PMU all Confidential Information, including any copies or reproductions in any form thereof in my possession at the time of such termination. The obligations under this Non-Disclosure Agreement shall continue for a period of two (2) years from the date of such termination.

The term "Confidential Information" shall include but is not limited to data files, technical information, business plans, materials, tapes, documents whether soft or hardcopies, computer files (including audio files) disclosed, provided, communicated or submitted, orally, in writing, or by any other media, or any other proprietary information not known generally to the public relating in any way to the business of PMU, UTDB or any other information regarding the management and method of operation of UTDB.

UTDB may elect at any time to terminate or restrict my access to the Confidential Information.

Name of Service Provider's Employee: _____
(Please sign over printed name)

Signed in the Presence of:
Name of Authorized Service Provider Signatory:
(Please sign over printed name)

Date Signed



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PRICE SCHEDULE

Tender Inviting Authority: Project Director, SICRTD Project, UTDB

Name of Work: CHARTERED ACCOUNTING FIRM FOR INTERNAL FINANCIAL AUDITING OF THE Sustainable, Inclusive and Climate Resilient Tourism Development at the Tehri Lake Area Project, Loan No. 4615-IND

Contract No: NCS2

Name of the Bidder/ Bidding Firm / Company :

(This BOQ template must not be modified/replaced by the bidder and the same should be uploaded after filling the relevant columns, else the bidder is liable to be rejected for this tender. Bidders are allowed to enter the Bidder Name and Values only)

NUMBER #	TEXT #	NUMBER #	TEXT #	NUMBER	NUMBER #	NUMBER #	NUMBER #	TEXT #
Sl. No.	Item Description	Quantity	Units	Estimated Rate	BASIC RATE In Figures To be entered by the Bidder Rs. P	TOTAL AMOUNT Without Taxes	TOTAL AMOUNT With Taxes	TOTAL AMOUNT In Words
1	2	4	5	6	7	53	54	55
1	INTERNAL Auditing Services for six years of SICRTD							
1.01	Senior Auditor (Four Days each Quarter)	96.00	Mandays	0.00	0.00	0.00	0.00	INR Only
1.02	Audit Assistant (Eight Days each Quarter)	384.00	Mandays	0.00	0.00	0.00	0.00	INR Only
Total in Figures		480.00	Mandays			0.00	0.00	INR Only
Quoted Rate in Words		INR Only						

Note: The price schedule attached above is just for your reference only. The Professional Fees shall be filed online in the given BOQ sheet only, and not in the format with the technical bid. In case of non-compliance, the quotation will be cancelled.