

**APPOINTMENT OF CA FIRMS ON CONTRACTUAL BASIS TO CONDUCT SUPPLEMENTARY AUDIT IN
BRANCHES OF UGB**

Uttarakhand Gramin Bank, Dehradun (herein after referred to as 'the Bank') invites applications from CA Firms for appointment as Supplementary Auditor on contractual basis for a period of upto one year from their date of appointment. The Supplementary Audit is to be conducted in selected branches/AMSHs/CPCs of Uttarakhand Gramin Bank within its area of operation

Interested firms to send their application by post or deliver by hand to -

The General Manager (Administration),
Uttarakhand Gramin Bank,
Head Office – 8 A, IT PARK,
Sahastradhara Road Dehradun - 248013

The application can be downloaded from Bank's website www.ukgb.bank.in . The last date for submission of applications at above-mentioned address is **10.11.2025**. Applications received after the last date will not be entertained.

The Bank reserves the right to cut/extend the time line for submission of application if required. Further, the Bank reserves the right to accept or reject any application or all the offers without assigning any reason thereof.

The appointment of CA firms will initially stand for the period of one year from the date of their appointment.

The Bank reserves the right to alter the schedule reflected in this document or to change the process or procedure to be applied. The Bank also reserves the right to decline to discuss the matter further with any party expressing interest. No reimbursement of cost of any type will be paid to any person submitting their application.

On receipt of intimation from the Bank regarding acceptance of the application, the successful Firm shall be bound to execute the Contract within the timeline and implement the same from the specified date. The successful Firm shall sign an agreement in accordance with the extant provisions and shall be liable to pay the appropriate and required stamp duty amount on the said Agreement in accordance with the Stamp laws in force in Uttarakhand.

Allocation of Auditee units:

A pool of Auditors will be created for conducting the Supplementary Audit smoothly. The selected empaneled CA firms will be available with the Chief Inspector at Head Office, who will allocate the auditee units to the Firm from the pool with necessary instructions.

Eligibility

Those firms which satisfy the following are eligible to apply:

- i) Grade I, II and III firms as per RBI Grade as on the date of application. CA Firms with RBI grading IV are not eligible to apply.
- ii) CA Firms having at least one year of experience of Supplementary Audit in any Commercial Bank/RRB. Firms with below 1 year experience will not be eligible to apply.
- iii) Preference will be given to CA Firms which have sufficient number of trained representatives of firm articled Clerk trained by ICAI on Supplementary Audit, Retired Officers of commercial Banks, RRBs

qualified Chartered Accountants as Partner or Associate or as Staff, who will be available on all working days to attend to the Supplementary Audit.

iv) CA Firms who are already engaged / appointed for any other assignment in UGB such as Statutory Auditors, Stock Auditors etc., are not eligible to apply, to eliminate any room of conflict of interest.

v) Where CA Firm is having more than one office in different geographical locations, such CA Firms can apply for empanelment separately for each office / location subject to:

vi) Should have an office in the centre / location.

vii) Separate designated Chartered Accountant should be available for conducting Supplementary Audit.

viii) CA Firm should not have business dealing with any borrower of the branch for which Supplementary audit assignment is sought.

ix) CA firms, conducting Concurrent/Supplementary Audit of the branch, will not canvass credit proposals directly or indirectly.

x) The CA firms should not have refused any assignment allotted by the Bank in the past.

xi) The CA Firms, while accepting assignment, should execute an undertaking of fidelity and secrecy on its letterhead in the prescribed format provided by the Bank.

The CA Firm getting Supplementary audit assignment will have to carry out short inspection / unit visit and submit the report along with regular report. No separate fee will be paid for carrying out the unit visit.

Process of Selection

As per policy guidelines.

Other Terms and Conditions of Empanelment:-

1. The Bank may cancel/terminate the contract of the empanelment at any time without assigning any reason whatsoever. However, following indicative performance parameter may be used for termination of empanelled CA Firms :
 - (i) The empanelled CA Firms is unable to address the assigned works as expected by the Bank.
 - (ii) Quality of the assigned work is not up to the satisfaction of the Bank.
 - (iii) The empanelled CA Firms fails to timely completion of Supplementary audit as finally decided by the bank.
 - (iv) The empanelled CA Firms is found lacking in honesty, integrity and confidentiality.
 - (v) An agreement shall be entered into with each empanelled CA Firms specifying the penalty clauses as may be decided by the appointing authority.
2. If in the opinion of Chief Inspector/GM, if the work/conduct of CA Firms is not found up to the mark, then he may recommend to the General Manager (Admin) for the **termination of services** after giving notice of 15-days to the CA Firms. Chairman shall be the authority for his/her termination.
3. Service Level Agreement (SLA), duly stamped, will be taken from the officials selected for empanelment.

Accountability:

Empanelled CA Firms who are not performing as per job profile may be terminated after giving 15 days' notice. The authority for finalizing the accountability/financial penalty/termination is vested with the appointing authority of the concerned Empanelled CA Firms.

Remuneration: The remuneration of the auditor (Chartered Accountant Firms) is fixed with the approval of the Board as under:--

1. Bank will pay a lump sum amount up to Rs.2700/- + GST per branch
2. Conveyance & transportation for outstation audit work, empanelled Auditors may use public transport plying in the area of visit and claim reimbursement of travelling expenses accordingly. In case public transport is not available, he/she may use private vehicles on seat sharing basis and claim accordingly.
3. The empanelled Auditors shall be eligible for maximum reimbursement of lodging expenses @ Rs. 960/- +GST per day on submission of original bills having Bank's GSTN No.05AAAAU4857G1ZF on it.

TDS/Income Tax rules shall apply as per extant IT Act.

No advance shall be paid to any empanelled Auditor. Bill for monthly payment raised by the Auditor on a monthly basis and the same shall be settled after deducting all applicable taxes.

No other payment will be made to the empanelled Auditors in the form of salary/allowance/out-of-pocket expenses/conveyance etc., except those mentioned above.

For more details refer to our bank's website www.ukgb.bank.in

At the bottom under 'careers' head.

To.
General Manager (Administration)
Uttarakhand Gramin Bank
Head Office, 8A, IT Park
Sahastradhara Road,
Dehradun-248013

Sir,

Application for empanelment as Supplementary Auditor.

1	Name of the Firm	
2	Address of Main Office	
3	Date of establishment of the firm (Certificate to be attached)	
4	Address of Correspondence	
5	Experience of conducting Concurrent/Supplementary Audit in any Commercial bank/ RRB. Name of the bank(s) & period.(Certificate to be attached)	
6	Contact detail of the firm Phone, Mobile , e-mail	
7	Number of trained representatives of firm articled Clerk trained by ICAI on Concurrent/Supplementary Audit, Retired Officers of commercial Banks, RRBs qualified Chartered Accountants as Partner or Associate or as Staff, who will be available on all working days to attend to the Concurrent/ Supplementary Audit.	
8	Is the firm already engaged / appointed for any other assignment in UGB such as Statutory Auditors, Stock Auditors etc.?	
6	Did the firm refuse any assignment allotted by the Bank in the past?	

7	Any other information?	
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We undertake that we agree to work anywhere in the area of operation of the Bank.

We declare that all the information presented above is true, if found incorrect the eligibility of our firm will be cancelled.

Place:-

Date:-

Signature with seal

Name of the Firm —

Attachment- As above