



UTTARAKHAND PUBLIC
FINANCIAL MANAGEMETN
STRENGTHENING PROJECT

INVITES
REQUEST FOR QUOTATION
FOR

Selection of Firm for Scanning of
Audit Reports and uploading on
OAMS portal.

RFQ No. IN-CTRFA-405810-NC-RFQ

Place for opening of the RFQ	31/62, 3rd Floor, Urban Development Directorate Building, Rajpur Road, Dehradun-248001
Last Date & Time of Submission of RFQ	17 th Feb 2024 upto 1500 hrs
Date & Time of Opening of Technical Proposal	17 th Feb 2024 upto 1600 hrs

Date- 31st January, 2024

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CHAPTER-1

INTRODUCTION of UKPFMS

The GoUk has received a loan from IBRD for the Uttarakhand Public Financial Management Strengthening Project (UkPFMS) and intends to apply a part of the loan proceeds for this assignment **toward Selection of agency for undertaking the work of Scanning of Audit Reports and uploading on OAMS portal.**

Government of Uttarakhand (GoUk) is committed to reforms in Public Financial Management (PFM). In order for strengthening PFM, the GoUk is implementing Uttarakhand Public Financial Management Strengthening Project (UkPFMS) with financing from the World Bank. The overall objective of the project is to enhance efficiency and effectiveness in the areas of PFM through strengthening of PFM institutional framework and systems and improve capacity in the areas of cash and debt management, public audit, planning, budgeting, and capital expenditure management, public procurement, and support measures to improve transparency of budget and procurement information. One of the major components of this project focuses on exploring additional avenues for raising revenues/tax etc for augmentation of revenue of the State Government of Uttarakhand.

The Finance Department through the Center for Training and Research in Financial Administration (CTRFA) now invites eligible firms to indicate their interest in providing the Services. Interested firm should provide information demonstrating that they have the required qualifications and relevant experience to perform the Services. The minimum required qualifications/criteria are available in Request for Quotation of the assignment can be accessed on the website <http://www.uttarakhandaudit.uk.gov.in>.

The attention of interested Consultants is drawn to paragraph 3.14 and 3.17 of the World Bank Procurement Regulations, July 2016 revised in November 2017 and August 2018 ("Procurement Regulations"), setting forth the World Bank's policy on conflict of interest.

Further information can be obtained at the address below during office hours *0930 to 1730 hours*.

Uttarakhand Public Financial Management Strengthening Project,
31/62, 3rd Floor, Urban Development Directorate Building,
Rajpur Road, Dehradun-248001
Uttarakhand, India, Mob +9718323174

The technical proposal will be opened at the specified venue on the stipulated date and time in the presence of participating firms or their authorized representative who wish to attend. If the office happens to be closed on the date of opening of the bids as specified, the bids will be opened on the next working day at the same time and venue as mentioned in Instruction to Consultant in RFQ.

CHAPTER -2

Invitation for Submission of Request for Quotation (RFQ)

RFQ No. **IN-CTRFA-405810-NC-RFQ**

DATE 31st Jan, 2024

M/s

Dear Sir/ Madam,

Sub: Selection of agency /firm for Scanning of Audit Reports and uploading on OAMS portal

1. UKPFMS, Dehradun invites submission of proposal for the subject assignment under “two-bid system” in complete accordance with the following details and enclosed RFQ.
2. It is not permissible to transfer this invitation to any other firm.
3. The firm will be selected under Least Cost Selection (LCS) methods of the World Bank.

S.NO	Particular	Details
1.	Publishing Date in Website	31 st January 2024
2.	Document Download Start Date	31 st January 2024
3.	Submission of Pre-bid Queries	7 th Feb 2024 at 1130 Hrs
4.	Bid Submission - Closing Date & Time	17 th Feb 2024 upto 1500 Hrs.
5.	Technical Bid - Opening Date & Time	17 th Feb 2024 at 1600 Hrs.
6.	Date & Time of opening of Financial bids	Will be intimated later to the bidders
7.	Website for downloading Tender Document, Corrigendum, Addendums, etc.	https://uttarakhandaudit.uk.gov.in/
8.	Bid Validity Period	90 Days from the date of opening of technical bid

4. Contact Person:

Ashish Yadav,
PMS, UKPFMSFinance)
E-mail: ukpfmswb@gmail.com,
pms.ukpfms@gmail.com
Mobile : 9718323174,

5. If any of the days specified above happens to be a holiday, thenext working day shall be implied.

CHAPTER-3

GENERAL INFORMATION TO BIDDERS REGARDING PROCEDURE FOR SUBMISSION OF BIDS

1. The Bid document has to be downloaded from the web site (<https://uttarakhandaudit.uk.gov.in/>)
2. Interested bidders / Consultant are advised to study the document carefully. Submission of bid shall be deemed to have been done after careful study and examination of the bid document with full understanding of its implications.
3. The Bidder / Consultant shall bear all costs associated with the preparation and submission of its bid and UKPFMS will, in no case, be responsible or liable for those costs, regardless of the conduct or outcome of the bid process.
4. UKPFMS reserves the right to award the work, modify / cancel the award without assigning any reason.
5. **Financial Bid**
 - a) The bidder / Consultant shall indicate the prices as specified in the format given at Fin – I and Fin II.
 - b) The bidders / Consultant should quote their most competitive prices.
 - c) All prices should be clearly written both in figures and in words. Bidders / Consultant should ensure that there are no alterations / corrections in the prices submitted by them.
 - d) In case of a discrepancy between the prices in figures and words, the prices in words will be considered correct.
 - e) The prices quoted shall be firm throughout the period of the validity of the offer and subsequently during the currency of the contract and shall not be subject to any variation/revision.
6. **Acceptance of offer**

UKPFMS reserves the right to accept any bid under this RFQ in full or in part, or to reject any bid or all bids without assigning any reason.
7. **Excuse from Claim**

The Bidder / Consultant at no point of time can excuse themselves from any claims by UKPFMS whatsoever for their deviations in conforming to the terms and conditions, payment schedules, time frame for implementation etc. as mentioned in Bid document.
8. **Adherence to Schedule**

The Bidder / Consultant has to adhere to the time schedule of activities mentioned in the RFQ and no request to change the last date or extend period/time for submission shall be entertained by UKPFMS. However, UKPFMS reserves the right to extend the date/time for submission of the responses without assigning any reason by notifying in its website.

9. Submission of Bid

The Bidder / Consultant shall submit their RFQ in two separate sealed envelopes:

- (i) Technical Bid and
- (ii) Financial Bid

The RFQ is a “Two Bid’ document. The Technical Proposal should contain all the relevant information and desired enclosures in the prescribed format. The Financial Proposal should contain only financial Bid as per **Fin 1 and Fin 2**. In case, any bidder / Consultant encloses the financial bid within technical bid, the same shall be rejected summarily.

Submission of Technical Bid and Financial Bid in any other format may result in invalidation of such bids. Bid submitted cannot be modified after the submission of the bid offers.

Offers sent by post should be sent by Registered/Speed Post/By hand so as to reach us before closing date i.e. by 13th Feb 2024 up-to 1500 Hrs. UKPFMS shall not be responsible for any delay/ loss of offers sent by post.

10. Bid Response Format

The bidder / Consultant shall effectively communicate the solution and shall cover all the requirements as given in the RFQ Document. The bidder shall use the following format to submit the response:

- The documents of the Technical Proposal shall be placed in sealed envelope clearly marking it as **“Technical bid for Selection of agency /firm for Scanning of Audit Reports and uploading on OAMS portal”**
- The financial Proposal shall be placed in separate sealed envelope clearly marking it as **“Financial Bid for Selection of agency /firm for Scanning of Audit Reports and uploading on OAMS portal”** (Do not open with Technical Bid).
- The above two envelopes shall be placed in third envelope, which shall also be appropriately sealed and marked it as **“RFQ for “Selection of agency /firm for Scanning of Audit Reports and uploading on OAMS portal”**.

11. Right to Termination/Cancellation

Notwithstanding anything contained in this document, UKPFMS, reserves the right to cancel/terminate the bid/offer process without assigning any reason whatsoever, at any time, prior to signing the contract and UKPFMS shall have no liability for above-mentioned actions.

12. Address for Submission of Bids

Bid Document complete in all respect shall be addressed to:

Project Director

31/62, 3rd Floor, Urban Development Directorate Building,
Rajpur Road, Dehradun-248001

In addition to the above, all envelopes including the inner envelopes shall indicate the name and address of the Bidder.

If the outer envelope is not sealed and marked as required, UKPFMS will assume no responsibility for the Bid's misplacement or premature opening.

13. Late Bids

Any Bid received by UKPFMS after the deadline for submission of Bids prescribed in this document, will be summarily rejected and returned unopened to the Bidder. UKPFMS shall not be responsible for any postal delay or non-receipt / non-delivery of the documents. No further correspondence on this subject will be entertained.

14. Opening of Bids

UKPFMS will open Technical Bids as per schedule. The bidder may depute his/their authorized representative for the event. The Bidder's representative who is present shall sign the attendance roll evidencing his/her attendance. Even if no representative of the bidder is available, the Bids would be opened as per schedule. In the event of the specified date of Bids opening/presentation being declared a holiday for UKPFMS, the Bids shall be opened at the appointed time and location on the next working day.

15. Announcement of Bids

The Bidder's names, modifications, if any, in the Proforma and such other details will be announced at the time of opening of Bids. No Bid shall be rejected at the time of Bid opening except for late submissions.

16. Clarification of RFQs

To assist in the examination, evaluations and comparison of bids, UKPFMS may, at its sole discretion, ask the Bidder for clarification on the Proposal submitted.

The request for clarification shall be in writing by post or email. The response shall be submitted in writing by registered/speed post or by email duly signed by authorized representative.

17. Completeness of RFQs

UKPFMS will examine the proposals to determine whether they are complete, whether they meet all the conditions of the RFQ Document and eligibility conditions, whether the documents have been properly signed.

18. Rectification of Errors

Bidders/ Consultant are advised to exercise greatest care in entering the pricing figures. No requests regarding correction of mistakes in the financial bids will be entertained. There should be no interlineations, erasures, alterations, fluid-marking, additions or overwriting are found in the financial bid. Arithmetic errors

in bids will be considered as follows:

- (a) Where there is a discrepancy between the amounts in figures and in words, the amount in words shall govern.
- (b) Notwithstanding the above, the decision of the Evaluation Committee shall be final and binding.

19. Rejection of RFQ

The RFQ shall be submitted duly filled by downloading RFQ document from website.

RFQ may be rejected at any stage of the evaluation if it is found that the firm has provided misleading information or has been blacklisted by a Central or any State Government or has indulged in any malpractice/ unethical practice and has not honored contractual obligation elsewhere.

If the bidder deliberately gives incorrect or misleading information in their proposal or wrongfully creates circumstances for the acceptance of the RFQ, UKPFMS reserves the right to reject such a bid at any stage.

20. Validity of RFQ

RFQ shall be valid for acceptance for a period of at least 90 (Ninety) days after the last date of submission of bid. The Bid with lesser validity period is liable to be rejected. However, this is subject to the validity period of bid being extended further, if required, by mutual agreement from time to time.

21. Opening of Financial Bids

All those firms fulfilling the eligibility criteria in the RFQ document shall be eligible for opening of their Financial Bids. The date, time and venue of opening of financial bid of the technically shortlisted bidders will be intimated by email only.

22. Pre-bid Clarification

Bidders / Consultant are requested to submit their queries by email to ukpfmswb@gmail.com till 6th Feb 2024. All the queries received till 6th Feb 2024 will be duly responded to by uploading the corrigendum / addendum on the ukaudit website i.e. <http://www.uttarakhandaudit.uk.gov.in>.

Further, the bidder may attend the pre-bid meeting online on 7th Feb 2024 at 11:30 Hrs with the below mentioned link

The Office of Project Director UKPFMS is inviting you to a scheduled Zoom meeting.

Topic: Pre-Bid Conference - Selection of Agency for Scanning of Audit Reports
Time: Feb 7, 2024 11:30 AM India

Join Zoom Meeting

<https://us02web.zoom.us/j/83958470535?pwd=MTZHRU1RZis1anVHYWUyYUIMG5DZz09>

Meeting ID: 839 5847 0535

Passcode: 123456

23. Deliverable and Payment Terms

Deliverables	Timeline from contract	Payment %
On completion of complete assignment including scanning and uploading of reports on OAMS	Within three months from the date of issuance of contract	100%

24. Duration of Contract

The selected firm should complete the assignment within 04 months from date of issuance of contract.

25. Performance Security

The selected firm shall submit the performance security of 5% of contract value in form of Bank guarantee / FDR in favour of Project Director, UKPFMS. The performance security will be released only after three months of completion of assignment and with confirmation of nodal officer of Audit Directorate.

CHAPTER-4

Terms of Reference (ToR)

1. Background

As per Consent / request by Audit Directorate, UKPFMS is inviting this Request for quotation for scanning of Audit reports on behalf of Audit Directorate. As per request of Audit Directorate, scanning of outstanding Audit reports since inception of the state is to be undertaken. The scanning activity is to be carried out by visiting the district offices of the Audit directorate across Uttarakhand and uploading the reports on OAMS portal. Approx 3,05,000/- pages are to be scanned.

2. Activities to be carried out:

- i) Scanning of Audit reports of Directorate of Audit in the prescribed format i.e. PDF.
- ii) Unbinding/Binding of all the Original Documents, Books & Files. Rate of binding shall be included in the prices quoted by the bidder.
- iii) Repairing of torn/mutilated papers.
- iv) Required software & Hardware for the purpose of digitization would have to be arranged by the firm itself.
- v) Space, Furniture, Electricity for scanning will be provided by the respective department.

3. Particulars of records to be scanned - Documents are available at the Directorate of Audit and district offices as per below details:

S.No	District	Approx No. Pages
1	Dehradun	35140
2	Haridwar	25575
3	Pauri	32552
4	Rudraprayag	23826
5	Uttarkashi	22810
6	Tehri	5058
7	Chamoli	43750
8	Pithoragarh	19744
9	Almora	16140
10	Champawat	4333
11	Bageshwar	14091
12	Nainital	41037

13	Udham Singh Nagar	2849
14	Directorate, Dehradun	17815
Total		3,04,720

The above number of pages are tentative which may increase / decrease. The payment will be made in actual number of pages uploaded in OAMS portal.

It is the responsibility of the service provider to complete the scanning work by visiting the respective offices as per above details. The cost should be inclusive of scanning service charges, stay at the location, travelling charges and uploading of the file on OAMS portal. The activity is to be completed within three months.

4. Setting up the Scanning and digitization centre.

- i) On receipt of confirmed service order vendor shall furnish detailed work plan of estimated space/area requirement, estimated electric power required, estimated technical/ nontechnical personnel to be deployed to set up digitization facility in each of the respective offices within 10 days from award of contract
- ii) Vendor shall set up the digitization and scanning facility commensurate with the requirement of delivery schedule and the type and number of document to be scanned, digitized and the format of its storage.
- iii) **All activities have to be carried out at the allocated centers only. In any case, taking any documents outside premises would not be allowed.**

5. Pre-scanning

- i) Vendor will perform all the pre-scanning activities which may include (but not limited to) collection of documents, removal of unwanted dust, removal of tags, pins, threads, rubber bands, application of curative techniques to biologically infected or otherwise damaged documents etc., sorting and numbering of pages in the document file in correct order.
- ii) The documents would be handed over in lots as agreed mutually between the vendor and the Audit department as per agreed time schedule and roster. The vendor shall provide acknowledgement of number of documents and number of pages in each document received from the Audit department. Number of documents/ pages in a file shall be checked in presence of the representative of the Audit Department. Documents provided to the vendor will be pre-numbered.
- iii) The vendor will maintain a record of the document details in a log register while collecting these documents. This log register should contain at least the following details:
 - a) Description of the document collected (file No., Detail of FY, Auditee name etc.)
 - b) Size of the pages in document (A4/legal) along with the number of such pages
 - c) Total number of pages in the document
 - d) Collected from (Government Official)

- e) Collected by (Vendor representative)
- f) Date of Collection
- g) Expected date of return
- h) Returned to (Government Official)
- i) Returned by (Vendor representative)
- j) Actual date of return

- iv) Vendor shall maintain and return the documents in their original form to the Audit Department. Document shall be handled with extreme care so that their chronology is not disturbed. For example, Multi-page documents that must be kept together (e.g., a letter with an attachment).
- v) The vendor will carefully unfold and flatten the documents to eliminate creases and wrinkles and ensure that document maintain its original form without any damage.
- vi) The vendor will take special care in preparing the documents which are too old and that may not be in good physical condition or are very delicate and may not be directly scanned. This may include (but not limited to) pasting of torn pages, straightening of pages, unbinding of files that cannot be scanned directly. Some old documents may require flat-bed scanners too. Vendor may use ironing process to straighten them. Documents should be prepared such that normal scanner can scan it. After the scanning work the documents shall be made in the original conditions of the documents and files.
- vii) Vendor shall be responsible for any damage caused by them during the process of scanning and digitization of records and ensure that all such records are repaired at their own cost and information is retrieved. In case such retrieval of data or repair of record is not feasible the vendor will compensate for the same by making payment to the Audit Directorate towards the value of the damaged or lost data/document/record as valued by the Audit Directorate.

6. Scanning and Digitization

- i) Scanning resolution shall be 300 dpi or better, raw master image uncompressed and clean master image loss less compression shall be in file format PDF.
- ii) The scanned documents shall be converted into any of the standard file formats such as PDF or other standard formats as per the requirement of the Directorate of Audit. All the pages of a single file have to be stitched together to generate an exact replica of the physical file. The stitched document should be represented in a PDF format.
- iii) The Vendor shall use Group IV lossless compression technique or better for black and white images and LZW lossless compression or better for images in Grayscale/Black & White. The Vendor will be responsible for quality assurance and will go through all documents to see if they are complete and legible. The Vendor will undertake Quality Assurance processes for all aspects of processing and post-processing of records including image capture, indexing, storage and return. The Vendor's staff will perform quality control to ensure that each page is fully rendered, properly aligned, and free of aliasing/ distortions. Inspection and quality control data shall always be recorded on the worksheet accompanying each volume. When necessary (e.g., poor image capture of an illustration), the staff will re-scan from the original text and insert the image(s) into the proper image file sequence. Vendor shall employ automated quality analysis mechanism to ensure 100% quality check.

- iv) Annotation and bookmark for relevant pages is to be recorded in the PDF files and stored as separate attributes in the database for search.
- v) The vendor shall ensure that the quality of scanned images is enhance to the optimum level and shall perform all such activities required to bring the scanned image to optimal level such as skew, de-skew to make the image straight, cropping and cleaning of images like removal of black noises around the text and providing equal margins around the text etc.
- vi) In case the documents are not legible, the vendor shall scan the documents at a higher resolution or in Grayscale. No extra payment shall be made for the same.
- vii) All the pages in a document including blank pages (only when such blank pages are numbered in the file/document) shall be scanned to produce exact replica of the original document. No page shall be scanned more than once.
- viii) The Vendor will deploy its own human resources for all the above mentioned activities. The Vendor will deploy adequately skilled manpower resources to complete the job within the specified time and of specified quality.

7 Indexing and cataloguing

- i) Vendor will establish procedure for checking the accuracy of indexing and making necessary corrections as accurate indexing is required for efficient retrieval of digital documents from digital storage media.
- ii) Once all documents are verified and pass vendor's quality assurance phase, they will be stored on final digital media of the user's preference, complete with their indexes. At the end of the process all paper documents will be returned in their original form to the concerned department.

8) Post Scanning

- i) After scanning, the physical document would be pinned together/ tagged in the same form as it was given for scanning by the individual units of any department. At the end of the process all paper documents will be returned in their original form to the department.
- ii) Each page shall be serially arranged and shall be counted while giving the documents back to the department.
- iii) The Vendor is required to use their own MIS tool to generate fortnightly reports for tracking the digitization status. These reports would contain basically summary of records scanned and stored. The release of payments is linked to fortnightly submission of these reports and the status of work to the End User Department and subsequent receipt of acknowledgement.

9) Storage and Backup

- i) A folder structure/ configuration management policy has to be followed while storing the digitized data in the DVD/ hard disk and or central storage.

- ii) Nomenclature of the digitized file should be in accordance with the e-Gov standard and should be discussed with the End User Department.
- iii) Copies of the scanned data shall be provided in hard disk (To be arranged by Vendor). Vendor will create a Master copy for the End User Department and will provide the replica of Master copy as per the requirement of the End User Department.
- iv) Vendor shall use standard methodology for Scanning & digitization and archiving so that in future, any Vendor can access the archival database.
- v) Vendor shall train the respective users on retrieving the records after file conversion.

10) Vendor's Obligation

- i) Vendor shall work in the area/space provided for the digitization centre only. They shall ensure that the allotted space/area and other facilities of the user Audit department are not misused in any manner by their staff/ representatives. Vendor shall ensure that the staff engaged by them is disciplined and maintain work ethics. Vendor alone shall be liable and responsible for the acts and or deeds or things of the employee or workers engaged by them.
- ii) Vendor shall be required to install and maintain adequate IT infrastructures of hardware and software such as computers, scanners, UPS, network setup etc. at his own cost at each of the location to complete the work in time bound manner.
- iii) All the scanned and digitized data and documents shall be the property of the Directorate of Audit and vendor shall have no right, title or interest in it. Directorate of Audit shall have the exclusive right to use it anywhere and in any manner.
- iv) Vendor shall ensure that all information, data and or documents given to them by the Directorate of Audit are kept confidential. The entire work of scanning/ digitization/ repairing of old records are entrusted to the vendor under trust and hence any leakage of information or passing of the information for any commercial purpose/exploitation or any other purpose whatsoever shall amount to committing an offence of stealing and criminal breach of trust liable for criminal prosecution.
- v) No documents shall be allowed to be taken or transmitted outside the Directorate of Audit premises without written permission from Directorate of Audit, in any manner what so ever. No employee of vendor shall share any documents or information relating to it to any outside unauthorized person. Violation of this will render immediate termination of contract and no payments will be made to the Vendor along with forfeiture of Performance Security. Vendor shall be wholly responsible in case of failure and will be liable to be prosecuted under the jurisdiction of the local court. Such persons shall not have any right to claim, any right of employment or contract with the Directorate of Audit.
- vi) Vendor shall be responsible to comply with all the Acts and or Rules and Regulation framed by Government of India or state Government of the work and employees. Vendor alone shall be the principal employer of all the employees engaged by them and shall comply with all labour laws including minimum wages, gratuity, EPF, ESI etc. whichever is applicable. Directorate of Audit shall not be responsible for the terms and conditions of employment of the staff engaged or the work undertaken by the vendor.

- vii) Vendor shall obtain prior permission from the Directorate of Audit to work on holidays or on off office hours/ odd hours.
- viii) All consumables required in digitization process shall viz. SS pins, tapes, print-out, cartridges etc. shall be provided by the vendor.
- ix) It is expected that the vendor would create unique folder for each employee based on employee id and create documents based on type of documents required by government. The naming convention for each type of document would be agreed with the Directorate of Audit before start of the assignment.

11) Directorate of Audit Obligation

- i) Directorate of Audit shall nominate a Nodal officer from its organization to coordinate with Vendor to set up the digitization facility. The Nodal officer shall be the project manager for this task and would be responsible for overseeing the work of the vendor as well as verifying the number of pages scanned and uploaded on OAMS portal.
- ii) Directorate of Audit shall provide adequate space and access to the authorized personnel of the vendor to work in the specified area.

- iii) Directorate of Audit shall nominate officer (department/unit/cell wise) who will hand over the records to be digitized to the authorized person of the vendor and take back the same. Normally A4 size is the major components of scanning work. In case scanning work of legal size / note-sheets are requested then the nodal officers shall certify the equivalent number of legal pages/ notesheet enable the service providers to claim their bills as per the rate quoted.

12) Payment Terms

The payment will be released by UKPFMS based on the confirmation received from the Directorate of Audit about the number of pages scanned and uploaded on OAMS portal.

BID EVALUATION AND ELIGIBILITY CRITERIA

S.No	Eligibility Criteria	Supporting Document
1.	The agency can be a company/partnership firm/proprietorship firm with minimum five year of existence as on 31 st Dec 2023	Copy of registration certificate
2.	The average annual turnover of the firm shall be at least 25 Lakhs during the previous three financial years i.e. FY 2020-21, 2021-22 and 2022-23	Copy issued by the Chartered Accountant /Audited financial statement for last three years
3.	The agency shall have the experience of executing at least 03 scanning and digitation work within minimum value of Rs. 5 lac with any state govt / center govt./ PSU / banks during the previous 3 (three) financial years i.e. FY 2020-21, 2021-22 and 2022-23	Copy of work order/ experience certificate
4.	The firm should not have been blacklisted /debarred penalized by Central Government or State Government or by any other regulatory authority.	A Self-declaration on the bidder's letter head shall be furnished in this regard.
5.	Due to confidentiality of the document no outsourcing of any kind would be allowed. Therefore the agency must have the capacity to handle entire assignment without making any consortium or outsourcing the work.	An affidavit on non judicial stamp paper duly attested shall be submitted

The bidders who qualify the above eligibility criteria will be considered for opening of their financial proposals.

Chapter 6.
Fraud and Corruption
(This Section 6, Fraud and Corruption shall not be modified)

1. Purpose

1.1 The Bank's Anti-Corruption Guidelines and this annex apply with respect to procurement under Bank Investment Project Financing operations.

2. Requirements

2.1 The Bank requires that Borrowers (including beneficiaries of Bank financing); Consultants (applicants/proposers), consultants, contractors and suppliers; any sub-contractors, sub-consultants, service providers or suppliers; any agents (whether declared or not); and any of their personnel, observe the highest standard of ethics during the procurement process, selection and contract execution of Bank-financed contracts, and refrain from Fraud and Corruption.

2.2 To this end, the Bank:

a. Defines, for the purposes of this provision, the terms set forth below as follows:

- i. "corrupt practice" is the offering, giving, receiving, or soliciting, directly or indirectly, of anything of value to influence improperly the actions of another party;
- ii. "fraudulent practice" is any act or omission, including misrepresentation, that knowingly or recklessly misleads, or attempts to mislead, a party to obtain financial or other benefit or to avoid an obligation;
- iii. "collusive practice" is an arrangement between two or more parties designed to achieve an improper purpose, including to influence improperly the actions of another party;
- iv. "coercive practice" is impairing or harming, or threatening to impair or harm, directly or indirectly, any party or the property of the party to influence improperly the actions of a party;
- v. "obstructive practice" is:
 - (a) deliberately destroying, falsifying, altering, or concealing of evidence material to the investigation or making false statements to investigators in order to materially impede a Bank investigation into allegations of a corrupt, fraudulent, coercive, or collusive practice; and/or threatening, harassing, or intimidating any party to prevent it from disclosing its knowledge of matters relevant to the investigation or from pursuing the investigation; or
 - (b) acts intended to materially impede the exercise of the Bank's inspection and audit rights provided for under paragraph 2.2 e. below.

b. Rejects a proposal for award if the Bank determines that the firm or individual recommended for award, any of its personnel, or its agents, or its sub-consultants, sub-contractors, service providers, suppliers and/ or their employees, has, directly or indirectly, engaged in corrupt, fraudulent, collusive, coercive, or obstructive practices in competing for the contract in question;

c. In addition to the legal remedies set out in the relevant Legal Agreement, may take other appropriate actions, including declaring mis procurement, if the Bank determines at any time that representatives of the Borrower or of a recipient of any part of the proceeds of the loan engaged in corrupt, fraudulent, collusive, coercive, or obstructive practices during the procurement process, selection and/or execution of the contract in question, without the Borrower having taken timely and appropriate action satisfactory to the Bank to address such practices when they occur, including by failing to inform the Bank in a timely manner at the time they knew of the practices;

d. Pursuant to the Bank's Anti- Corruption Guidelines and in accordance with the Bank's prevailing sanctions policies and procedures, may sanction a firm or individual, either indefinitely or for a stated

period of time, including by publicly declaring such firm or individual ineligible (i) to be awarded or otherwise benefit from a Bank-financed contract, financially or in any other manner;¹ (ii) to be a nominated² sub-contractor, consultant, manufacturer or supplier, or service provider of an otherwise eligible firm being awarded a Bank-financed contract; and (iii) to receive the proceeds of any loan made by the Bank or otherwise to participate further in the preparation or implementation of any Bank-financed project;

- e. Requires that a clause be included in bidding/request for proposals documents and in contracts financed by a Bank loan, requiring (i) Consultants (applicants/proposers), consultants, contractors, and suppliers, and their sub-contractors, sub-consultants, service providers, suppliers, agents personnel, permit the Bank to inspect³ all accounts, records and other documents relating to the procurement process, selection and/or contract execution, and to have them audited by auditors appointed by the Bank.

¹ For the avoidance of doubt, a sanctioned party's ineligibility to be awarded a contract shall include, without limitation, (i) applying for pre-qualification, expressing interest in a consultancy, and bidding, either directly or as a nominated sub-contractor, nominated consultant, nominated manufacturer or supplier, or nominated service provider, in respect of such contract, and (ii) entering into an addendum or amendment introducing a material modification to any existing contract.

² A nominated sub-contractor, nominated consultant, nominated manufacturer or supplier, or nominated service provider (different names are used depending on the particular bidding document) is one which has been: (i) included by the bidder in its pre-qualification application or bid because it brings specific and critical experience and know-how that allow the bidder to meet the qualification requirements for the particular bid; or (ii) appointed by the Borrower.

³ Inspections in this context usually are investigative (i.e., forensic) in nature. They involve fact-finding activities undertaken by the Bank or persons appointed by the Bank to address specific matters related to investigations/audits, such as evaluating the veracity of an allegation of possible Fraud and Corruption, through the appropriate mechanisms. Such activity includes but is not limited to: accessing and examining a firm's or individual's financial records and information, and making copies thereof as relevant; accessing and examining any other documents, data and information (whether in hard copy or electronic format) deemed relevant for the investigation/audit, and making copies thereof as relevant; interviewing staff and other relevant individuals; performing physical inspections and site visits; and obtaining third party verification of information.

a.	Name of the tendering authority	Project Director, UKPFMS
b.	Address	31/62, 3rd Floor, Urban Development Directorate Building, Rajpur Road, Dehradun-248001

I. RFQ No. **IN-CTRFA-405810-NC-RFQ**

II. Other related details: -

1.	Name of Bidder / Consultant				
2.	Name & Designation of Authorized Signatory				
3.	Registered/Head Office Address				
5.	Year of Establishment for firm				
6.	Type of Firm (Put Tick mark)	Individual	Private Limited	Partnership	Proprietary
7.	Telephone Number(s)/ Mobile				
8.	Website URL				
10.	Email Address				
11.	Indicate if Organization / Consultant has been blacklisted or not.				
12.	Details of completed assignment, similar to the scope of work (Name of Client, Contract Value, Period) attached copy of order and acceptance report				
13.	Total Number of Year of Experience				
14.	Turnover during last three financial year FY 2020-21, 2021-22 and 2022-23				
15.	Detail of any action by any government/ statutory agency/ regulatory authority with regard to any financial irregularities.				

- III. We agree to abide by all the conditions mentioned in this RFQ Document issued by the Tendering Authority and also the further conditions of the said Tender Notice given in the attached sheets (all the pages of which have been signed by us in token of acceptance of the terms mentioned therein).
- IV. The prices for the services as prescribed in financial document are given separately in the financial bid.
- V. The rates quoted are applicable up to period of contract from the date of opening of bid. The validity can be extended with mutual agreement. No Advance payment shall be made. Payments shall be made as per payments terms.
- VI. Bid duly filled and signed is enclosed with this tender form with Terms & Conditions in token of acceptance along with duly filled letter of undertaking / declaration.

Signature:

Name:

Designation:

Name of the Bidder: -

Authorized Signatory: - Seal
of the Organization: -

Date:

Place:

Annexure 2

Letter of undertaking
(ON THE LETTER HEAD OF THE BIDDER)

To

Project Director
UKPFMS, Dehradun

Subject: Selection of agency /firm for Scanning of Audit Reports and uploading on OAMS portal

Sir,

This bears reference to UKPFMS RFQ no. **IN-CTRFA-405810-NC-RFQ dated 31/01/2024** We, hereby, accept all the terms and conditions for submitting bid as mentioned in this Bid Document.

We hereby certify that no terms and conditions have been stipulated by us in the Financial Bid.

We warrant that the services do not violate or infringe upon any patent, copyright, trade secret or other property right of any other person or other entity. We agree that we shall not prevent UKPFMS from any claim or demand, action or proceeding, directly or indirectly resulting from or arising out of any breach or alleged breach of any of the terms & conditions of RFQ document and contract.

The above document is executed on ___/___/2024 at (place) _____ and we accept that if anything out of the information provided by us is found wrong, our Proposal/ Contract shall be liable for rejection.

Thanking you, Yours faithfully,

Name of the Bidder: - Authorized Signatory: -

Seal of the Organization: -

Date: Place:

SELF-DECLARATION – NON BLACKLISTING

(On Non-Judicial Stamp Paper of Rs. 100/- duly attested by the Notary Public)

To,

Project Director
UKPFMS, Dehradun

Sir,

In response to the RFQ no. **IN-CTRFA-405810-NC-RFQ dated 31/01/2024 Selection of agency /firm for Scanning of Audit Reports and uploading on OAMS portal**, I/We hereby declare that presently our Company/Firm

_____ is having unblemished record and is not declared ineligible or black listed for corrupt & fraudulent practices either indefinitely or for a particular period of time by any State/ Central Government/ PSU/Autonomous Body on the date of bid submission.

If this declaration is found to be incorrect then without prejudice to any other action that may be taken, my proposal may be treated as disqualified.

Thanking you,

Yours faithfully,

Date: Place:

Name of the Bidder: -

Authorized Signatory: - Seal of the Organization: -

FORM FIN-1

FINANCIAL PROPOSAL SUBMISSION FORM

To:

Project Director,
UKPFMS, Dehradun

Dear Sirs:

We, the undersigned, offer to provide the consulting services for **Selection of agency /firm for Scanning of Audit Reports and uploading on OAMS portal**, in accordance with your Request for Quotation No. **IN-CTRFA-405810-NC-RFQ dated 31/01/2024**.

Our attached Financial Proposal is for the amount of {Rs.....)}
(Rupees)} Indicate the
corresponding to the amount(s) currency (ies)} {Insert amount(s) in words and
figures},The estimated amount of local indirect taxes is
{RS.....)}(Rupees)}
{Insert amount in words and figures} which shall be confirmed or adjusted, if needed,
during negotiations. {Please note that all amounts shall be the same as in Form FIN-2}.
Our Financial Proposal shall be binding upon us subject to the modifications resulting
from Contract negotiations, up to expiration of the validity period of the Proposal.

We understand you are not bound to accept any Proposal you receive.We

remain,

Yours sincerely,

Authorized Signature {In full and initials):

Name and Title of Signatory:

In the capacity of:

Address:

E-mail:

FORM FIN-2
SUMMARY OF COSTS

Sl.No.	Item No.	Quantity (Approx)	Unit Cost	Total Cost in INR
1	scanning and uploading of reports on OAMS (paper size A4/legal/Notesheet)	3,04,720 Nos.		
			Taxes	
Total Amount (Including taxes)				

Total cost: Indian Rupees.....(Amount in words.) (Excluding taxes)

Total cost: Indian Rupees.....(Amount in words.) (including taxes)

The cost is inclusive of all travelling,boarding, lodging of the Consultant, no separate payment shall be released in this regard.

The payment will be released based on actual number of papers scanned and uploaded in OAMS portal with certification from nodal officer of Audit directorate

NOTE:

1. Bidders may depute their authorized representative to attend the Financial Bid Opening. Bidders selected for opening of their Financial Bid shall be suitably informed of the date and time of opening.
2. Any change in bid after the "Due Date & Time of Bid-Submission" of Tender is not permitted.
3. Bidders are required to submit their bids along with a covering letter under the firm's / company's letterhead specifying the name and designation of the authorized person signing the bid, complete postal address of firm / company, telephone no., e-mail ID, etc.
4. Bids should be valid for 90 days from the last date of submission of bid.
5. UKPFMS reserves the right to accept or reject any or all Tenders received at its absolute discretion without assigning any reason whatsoever.

Authorized Signature {In full and initials}:
Name and Title of Signatory:
In the capacity of:
Address:
E-mail