

PRE BID QUERIES : RFP REF : RFP:CIAD:112/2 Dated 12th August 2020

Sr. No.	Query	Reply																																																																												
1.	Our firm is Branch Statutory Auditor for the year 2019-20 of your two Branches of Vadodara Region and we wish to apply for concurrent audit of your Rajkot Zone. Should it be possible if we forego our statutory branch audit for the year 2020-21 if we have allotted concurrent audit. Please clarify.	Existing Statutory Auditor of Bank of Baroda can't apply for Concurrent Audit. However, existing Statutory Auditor of any other Bank may apply under RFP. The Audit Firm which is entrusted with Statutory Audit in Bank would not be considered as Internal Auditor or any special assignment in Bank during the period of one year after the Audit Firm ceases to be the Statutory Auditor of our Bank.																																																																												
2.	Whether a dedicated system (computer) will be provided for the team member attending the audit at the branch and other offices.	Yes																																																																												
3.	In the RFP document it is mentioned that bank is moving towards audit automation after which audit to be performed through automate tool, kindly let us know if remote audit to the extent possible is allowed when audit through automated tool	Centralized Team may carry out offsite Audit. However, presence of Audit Staff at Branch / Auditee Unit on minimum days as indicated in RFP is compulsory.																																																																												
4.	Volume of Work in respect of RLBO, Gift City, Gandhinagar	<p>Volume of A/c Opened and other activity carried out by RLBO is summarized as below :</p> <table border="1"> <thead> <tr> <th colspan="4">Volume of Account opened from February 20 to July 2020</th> </tr> <tr> <th>Month</th> <th>Current A/C</th> <th>Saving A/C</th> <th>Grand Total</th> </tr> </thead> <tbody> <tr> <td>Feb-20</td> <td>11123</td> <td>25920</td> <td>37043</td> </tr> <tr> <td>Mar-20</td> <td>10086</td> <td>22384</td> <td>32470</td> </tr> <tr> <td>Apr-20</td> <td>2842</td> <td>7800</td> <td>10642</td> </tr> <tr> <td>May-20</td> <td>2506</td> <td>4962</td> <td>7468</td> </tr> <tr> <td>Jun-20</td> <td>6447</td> <td>12721</td> <td>19168</td> </tr> <tr> <td>Jul-20</td> <td>10428</td> <td>21076</td> <td>31504</td> </tr> <tr> <td>Grand Total</td> <td>43432</td> <td>94863</td> <td>138295</td> </tr> </tbody> </table> <p>Month wise Volume of other activity :</p> <table border="1"> <thead> <tr> <th>Month</th> <th>FD number generated</th> <th>FCNR Process ed</th> <th>Overseas request Process</th> <th>Helpdesk Calls</th> </tr> </thead> <tbody> <tr> <td>Feb-20</td> <td>4,801</td> <td>934</td> <td>464</td> <td>11570</td> </tr> <tr> <td>Mar-20</td> <td>3,848</td> <td>609</td> <td>540</td> <td>11227</td> </tr> <tr> <td>Apr-20</td> <td>544</td> <td>430</td> <td>102</td> <td>2189</td> </tr> <tr> <td>May-20</td> <td>1,719</td> <td>385</td> <td>194</td> <td>2748</td> </tr> <tr> <td>Jun-20</td> <td>5,420</td> <td>487</td> <td>461</td> <td>5909</td> </tr> <tr> <td>Jul-20</td> <td>8,398</td> <td>470</td> <td>548</td> <td>11304</td> </tr> <tr> <td>Total</td> <td>24730</td> <td>3315</td> <td>2309</td> <td>44947</td> </tr> </tbody> </table>	Volume of Account opened from February 20 to July 2020				Month	Current A/C	Saving A/C	Grand Total	Feb-20	11123	25920	37043	Mar-20	10086	22384	32470	Apr-20	2842	7800	10642	May-20	2506	4962	7468	Jun-20	6447	12721	19168	Jul-20	10428	21076	31504	Grand Total	43432	94863	138295	Month	FD number generated	FCNR Process ed	Overseas request Process	Helpdesk Calls	Feb-20	4,801	934	464	11570	Mar-20	3,848	609	540	11227	Apr-20	544	430	102	2189	May-20	1,719	385	194	2748	Jun-20	5,420	487	461	5909	Jul-20	8,398	470	548	11304	Total	24730	3315	2309	44947
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5.	Volume of Work in respect of Agri CPC, Gift City, Gandhinagar	<p>Sanction by Agri CPC in last six months (Amt. in Crore)</p> <table border="1"> <thead> <tr> <th>Scheme</th> <th colspan="2">BKCC</th> <th colspan="2">Tractors</th> </tr> <tr> <th>Month</th> <th>No. of A/c</th> <th>Amt.</th> <th>No. of A/c</th> <th>Amt.</th> </tr> </thead> <tbody> <tr> <td>February' 20</td> <td>1474</td> <td>54.6</td> <td>89</td> <td>3.8</td> </tr> <tr> <td>March'20</td> <td>270</td> <td>11.05</td> <td>84</td> <td>3.59</td> </tr> <tr> <td>April '20</td> <td>27</td> <td>1.22</td> <td>13</td> <td>0.61</td> </tr> <tr> <td>May' 20</td> <td>7</td> <td>0.53</td> <td>74</td> <td>3.06</td> </tr> <tr> <td>June' 20</td> <td>51</td> <td>1.98</td> <td>170</td> <td>6.58</td> </tr> <tr> <td>July' 20</td> <td>91</td> <td>3.53</td> <td>128</td> <td>5.34</td> </tr> <tr> <td>Total</td> <td>1920</td> <td>72.91</td> <td>558</td> <td>22.98</td> </tr> </tbody> </table>	Scheme	BKCC		Tractors		Month	No. of A/c	Amt.	No. of A/c	Amt.	February' 20	1474	54.6	89	3.8	March'20	270	11.05	84	3.59	April '20	27	1.22	13	0.61	May' 20	7	0.53	74	3.06	June' 20	51	1.98	170	6.58	July' 20	91	3.53	128	5.34	Total	1920	72.91	558	22.98
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7.	Volume of Work in respect of IFSC Banking Unit (OBU) Gift City, Gandhinagar	<ul style="list-style-type: none"> ❖ Total Customer Deposit is USD 12.70 Mio with -15- Accounts & EURO 1.54 Mio with -6- accounts ❖ Total Advances is USD 806.20 Mio with -1152- Accounts. ❖ Average No. of transaction during for last -6- months is around -800- per month covering Bills Purchase, Term Loans, Buyers Credit, Supplier Credit, LC, Dealing Room and other forex transactions. Further, average number of SWIFT during last -6- months is around-1650- per month. 																																													

8.	Volume of Work in respect of TFBO (Trade Forex Back Office), Gift City, Gandhinagar	Average Transaction carried out by TFBO is summarized as under : (Based on Data from February 2020 to July 2020)																																																																																										
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9.	Volume of Work in respect of Central Pension Processing Cell, Gift City, Gandhinagar	<p>CPPC : CPPC is processing Pension Files as under :</p> <table border="1"> <thead> <tr> <th>CATEGORY</th> <th>Total</th> </tr> </thead> <tbody> <tr> <td>CIVIL</td> <td>24191</td> </tr> <tr> <td>DEFENCE</td> <td>41288</td> </tr> <tr> <td>Freedom Fighter</td> <td>1628</td> </tr> <tr> <td>RAILWAY</td> <td>69353</td> </tr> <tr> <td>Other (Telecom and Postal)</td> <td>5522</td> </tr> <tr> <td>Grand Total</td> <td>141982</td> </tr> </tbody> </table>	CATEGORY	Total	CIVIL	24191	DEFENCE	41288	Freedom Fighter	1628	RAILWAY	69353	Other (Telecom and Postal)	5522	Grand Total	141982
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10.	Volume of Work in respect of Contact Centre, Gift City, Gandhinagar	<ul style="list-style-type: none"> ❖ Daily Average of calls received during last six months : Approximately 55000 inbound calls per Day ❖ Other activity carried out by Contact Centre - Also handle Inbound and Outbound calls, Email response for Baroda connect and FRMS review. 														
11.	<p>If the Firm is having the Statutory Central Audit (SCA) of 3 Year of Scheduled Commercial Bank in Last 5 Year but they don't have Statutory Branch Audit (SBA) in Last 5 Year in this case can we fulfill the Eligibility Criteria as per Annexure 3 of Serial No. 4 "The Bidder should have carried out Statutory Audit of Branches of scheduled commercial banks in the last 5 years"?</p> <p>Please clarify if this would also be considered for Marking in RFP 4.3 serial No. 2.2 and 2.3?</p>	<p>It is clarified that, As part of Central Statutory Audit engagement, If the Firm also carried out Statutory Audit of certain top Branches be considered for eligibility under Point No. 4 of annexure 3.</p> <p>The same would also be considered for Technical Evaluation Marking under point No. No. 2.2 and 2.3.</p>														
12.	Whether the firm should apply per branch or for whole zone	Firm to apply for whole Zone / Group.														
13.	Should we propose fee branch wise, how do we know the size of the operations of the branch	Fees to be quoted as per Annexure – 7 (Branches are categorized under three category i.e category A : Advance of INR 500 Crore and above, Category – B : Advance more than Rs. 100 Crore and up to Rs. 500 Crore and Category C – With Advance less than 100 Crore.)														
14.	Meaning of Group in the tender document	Ahmedabad Zone, Baroda Zone & Pune Zone are divided in to two Groups for engagement of CA Firm. Please refer Annexure – 3 of RFP for Administrative jurisdiction of Zone / Group.														
15.	Why Bank Gaurantee is required	The Firm has to submit the EMD in form of DD, Banker's Chq or Bank Guarantee. The EMD Amt. could also be deposited by way of online transfer, in case the Bidder Firm opt to submit the proposal through E Mail and details of transfer be submitted as per Annexure 14.														
16.	Whether a CA. firm can apply for more than one zone with separate EMD and tender application fees and if success then accept only one zone.	It is clarified that, a CA Firm can apply for One Zone / One Group only. (Ref. Annexure – 3 of RFP : Eligibility Criteria at zone.														

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		<p>Page No. 39-40). If one Firm bids for more than One Zone / One Group. All the bids of that firm will be rejected.</p> <p>It is also clarified that existing CA Firm carrying out Concurrent Audit in any Zone / Group and their engagement period is extended up to 30-06-2021 / 30-09-2021 are not eligible to participate under this RFP.</p>
17.	I wish to know whether the Bangalore Zone comes under Tamilnadu Branches or Tamil Nadu has another Zone	Branches under Bengaluru Zone are situated in Karnataka State only.
18.	I am Proprietorship Firm having Firm Registration Number with over 15 yeas experience in the Concurrent Audit of Nationalized bank, am I eligible to apply for the same ?	Please refer Annexure 3 of RFP at Page No. 39-40 – Eligibility Criteria
19.	Deliverables include monthly submission of Reports of each Branch by 10th of succeeding month to ZIAD. Can the Reports be submitted online? Some of Branches are at remote locations, Hard Copies will take time to reach at Zonal office.	Presently Concurrent Audit System is not Automated for online submission of Report. Scan copy of duly signed reports may be submitted through mail followed by Hard Copy.
20.	Any relaxation will be allowed for long Bank holidays and Lockdown (local or otherwise) days within first 10 days of the month.	Suitable view on case to case basis as per prevailing condition will be taken by respective ZIAD. Being an essential service, Branches are functioning during lockdown also. Hence, Concurrent Audit of Branches to be continued during lockdown period also.
21.	As per Annexure-7, Minimum indicative days to be spent at each branch has been given. Will we need to upload the attendance?	Attendance sheet duly verified by Branch to be submitted along with Monthly Bill.
22.	As per Annexure-7, Minimum indicative days to be spent at each branch has been given. What will happen in case of Holidays/ Lockdowns ?	Suitable view on case to case basis as per prevailing condition will be taken by respective ZIAD. Being an essential service, Branches are functioning during lockdown also. Hence, Concurrent Audit of Branches to be continued during lockdown period also.
23.	Please refer to point No. 4.3 Page No. 18 of the RFP “Technical Proposal evaluation criteria under which point No. 4.3 of Team Profile of Marking Evaluation Table on Page No. 19” Marks to be awarded for each CISA / DISA Qualified partner / CA Employee. (Partner / CA Employee as per certificate of registration with ICAI)” Please clarify whether the CA Employees having DISA qualification can be associated with firm in part time capacity for gaining the 2 marks per employee.	It is clarified that only CA Partner / CA Employee as per certificate of registration with ICAI be considered for eligibility criteria as well as Technical evaluation.
24.	As per para 4.3 “Technical Proposal evaluation criteria” it is mentioned that 10 marks to be awarded for experience of Central Statutory Audit of scheduled commercial bank during the last five Financial Years. (10 marks for full term of 3 years as CSA. The firm should have signed Balance Sheet on year end. Pro-rata 3.33 Marks for each year.).	Technical Marks 3.33 Marks for each year to be awarded for engagement as Central Statutory Auditor during the last five Financial Year. (F.Y 2015-16, 2016-17, 2017-18, 2018-19 & 2019-20) in case the Firm had signed Balance Sheet on Year end.

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	We have served 3 full years as Central statutory auditor of a scheduled commercial bank which got completed in Sept 2015 (i.e. within last five years) and thereby we believe that we shall be eligible for full 10 marks for the same. Please confirm the same.	
25.	Further Please advise if the Central statutory auditor of private bank for current financial year can be considered or not based on appointment letter issued by bank and RBI.	Engagement of Central statutory Auditor of Schedule commercial Bank only will be considered for Technical evaluation. (Refer Para 4.3 point No. 2.3 of RFP.)
26.	We are concurrent auditors of XXXXX Bank, XXXX Branch for current financial year 2020-21, but we do not conducted any concurrent audit of any scheduled commercial banks in last 5 years. In above conditions are we eligible for application and allotment of concurrent audit of Bank of Baroda ?	Pl. Refer Annexure – 3 – Eligibility criteria: The bidder should have carried out Concurrent Audit of Branch of minimum two schedule commercial Banks in the last five years.
27.	Rs. 20000/- nonrefundable fee is to be paid at the time of application and Rs. 100000 Security deposit after confirmation of eligibility ?	Application Money of Rs. 20,000/- and EMD of Rs. 1,00,000/- is to be deposited with Eligibility cum Technical Proposal. (Refer Key Information of RFP and Point Para 2.1 & Para 2.12 of RFP)
28.	What are the minimum branches which have to be audited ?	Selected Firm to carry out the Concurrent Audit of all the Branches as per Annexure -13- in respective Zone / Group. Please note the Bank also reserve the right to add/ modify/ delete one or more units from the list of Auditee Units. Prices quoted by the Firm would be proportionately adjusted with such additions/ modifications/ deletions in Auditee Unit.
29.	Firm has conducted Concurrent Audit of Branches in XXXXXX Zone, which is splitted in to two Zones / Two Groups w.e.f. 01-10-2019. Whether the Firm may apply for existing Zone.	Firm is not eligible to apply for same Zone as Firm has already completed more than two year period of assignment as on 30-09-2020 and due for cooling after three months.
30.	As per scoring pattern Team Profile point no. 4.1, will the Cost Accountant be considered as in the calculation of points of Team Leader.	While assessing Team Profile during presentation under No. 4.1 any relevant Audit experience as well as Audit execution for Bank's in India shall be considered and all relevant related qualification will have an impact on overall evaluation of the Firm. However Cost Accountant qualification on it's own will not qualify for technical marks under Point No. 4.2 & Point No. 4.3.
31.	We want to clarify on EMD and Tender fees, as we are registered in MSME scheme, is there any exemption on the EMD and Tender fees ? Please let us the procedure to claim exemption on EMD and tender fees, as we want to complete the procedure as per the guidelines and in a timely manner.	There is no exemption on the EMD and Application Money.
32.	Ours is a CATEGORY: II firm, will it be eligible for submission of the Tender, as it requires application by only CATEGORY: I firms, as we have huge past experience in the field of Concurrent Audit and	Please refer to Annexure – 3 : Eligibility Criteria Point No. 1 “ The bidder firm should be Grade – I as suggested by RBI for Statutory Audit as available on website www.meficai.org .

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	currently (at present) handling 15 Branches Concurrent Audit of different banks & also we are a Statutory Branch Auditors of Union Bank of India.	
33.	Please clarify whether CA firm appointed as Concurrent Auditor can carry out any other assignment on behalf of bank on illustrative basis for e.g. forensic audit, Insolvency assignment, ASM assignment etc?	It is clarified that, CA Firm appointed as Concurrent Auditor for Ahmedabad Zone Group II is not eligible to carry out forensic audit on behalf of Bank of Baroda anywhere in India as TFBO Gandhinagar is dealing with forex business of PAN India branches of the Bank. The Firm carrying out Concurrent Audit in other Zones / Groups may carry out Forensic Audit / other Audit Assignment outside Zone / Group.