

# **Request for Proposal (RFP)**

**For Appointment of Statutory Auditor  
for State Health Society (SHS) and  
District Health Society (DHS) for Audit  
of all programmes under NHM  
including flexible pools of NRHM-RCH,  
NUHM, NDCP and NCD.**

**[2017-18]**

## **REQUEST FOR PROPOSAL (RFP)**

State Health Society Uttar Pradesh, seeks to invite Proposal from *C&AG empanelled Chartered Accountant firms those are eligible for major PSU audits for the year 2017-18* for conducting the statutory audit of State and District Health Societies under the National Health Mission for the FY 2017-18.

The details about the background of the auditee, the units to be covered in the audit, scope of work, terms of reference, and the eligibility criteria for selection of the CA firms are given in the following paragraphs.

### **Terms of Reference (ToR)**

National Rural Health Mission (NRHM) of the Ministry of Health & Family Welfare was launched on 12<sup>th</sup> April, 2005 by the Government of India to improve medical facilities in the country. From 2013-14 onwards the NRHM programme has been subsumed under the umbrella programme of National Health Mission (NHM). NHM is overarching NUHM and also includes Communicable and Non-Communicable Diseases (NCD) as well. The NHM seeks to provide accessible, affordable and quality health care to the population, especially the vulnerable sections. It also seeks to reduce the Maternal Mortality Ratio (MMR) in the country to 100 per 1,00,000 live births, Infant Mortality Rate (IMR) to 28 per 1000 live births and the Total Fertility Rate (TFR) to 2.1 as per the targets set under National Health Policy (NHP), 2017.

2. One of the visions of the Mission is to increase public spending on health from 1.3% to 2-3% of GDP, with the improved arrangement for community financing and risk pooling. The NHM has provided an umbrella under which the existing Reproductive and Child Health Programme (RCH), various National Disease Control Programmes (NDCPs) and Non-Communicable Disease Programme (NCDs) have been repositioned. National Urban Health Mission (NUHM) has also been added as Sub mission of National Health Mission.

3. At present the following Programmes/Schemes fall under the NHM:

#### **A. NHM-RCH Flexible Pool:**

- **RCH Flexible Pool** including Routine Immunization (RI), Pulse Polio Immunization (PPI) and National Iodine Deficiency Disease Control Programme (NIDDCP)
- **Health System Strengthening (HSS) under NRHM** including National Programme for Prevention and Control of Deafness (NPPCD), National Oral Health Programme (NOHP), National Programme for Palliative Care (NPPC), Assistance to State for Capacity building (Burn Injury), National Programme for Fluorosis(NPF).

B. National Urban Health Mission (NUHM) Flexible Pool.

C. Flexible Pool for Communicable Diseases:

- National Vector Borne Disease Control Programme (NVBDCP),
- Revised National Tuberculosis Control Programme (RNTCP),
- National Leprosy Eradication Programme (NLEP),
- Integrated Disease Surveillance Project (IDSP).

D. Flexible Pool for Non-Communicable Diseases:

- National Programme for Control of Blindness (NPCB),
- National Mental Health Programme (NMHP),
- National Programme for Health Care of the Elderly (NPHCE),
- National Tobacco Control Programme (NTCP),
- National Programme for Prevention and Control of Cancer, Diabetes, Cardiovascular Diseases and Stroke (NPCDCS).

#### **4. Institutional and Funding Arrangements:**

For the implementation of the above programmes, MOHFW has required the creation of an Integrated Health Society at State and District levels (registered as a legal entity at the State and District under Societies Registration Act, 1860). Such integrated State Health Society (SHS) works in close coordination with the Directorate of Health & Family Welfare and District Health Societies (DHSs) work in coordination with the District Collector and District Chief Medical Officer (CMO). Program implementation is done through its District Chief Medical Officer's office, Blocks, Community Health Centers (CHCs), Primary Health Centers (PHCs), Sub-Centers (SCs), Rogi Kalyan Samities (RKSs) and Village Health Sanitation & Nutrition Committees (VHSNCs). Certain activities may be managed at the State level such as drug procurement, IEC, civil works, training using specialized entities such as SIHFW, IEC Bureau, PWD, the Directorate of Health and Municipal Corporations for the urban health components. In addition, funds are also released from SHS/ DHS to NGOs and private entities under public private participation (PPP) arrangements.

#### **Funding & Accounting Arrangements:**

Funds for the various programs are transferred from Pay & Accounts Office of MoHFW to the State Treasuries and then from Treasuries to the SHS functioning in the State. The Government of India transfers funds in the form of Grants-in-Aid to SHS on the basis of respective State Programme Implementation Plan (SPIPs) and approved Annual Work Plans which are prepared on the basis of District Health Action Plans (DHAP) of each of the districts in the State. Under the umbrella of the integrated SHS/DHS, each program has separate bank accounts, maintains

separate books of accounts and other financial records as per the requirements of each program and also submit separate financial activity reports at varying frequencies to the respective monitoring unit in MOHFW (GOI).

**5. Financing by Development Partners/ Donors:**

Some of the programs of NHM are also supported by development partners such as the Asian Development Bank (ADB), GFATM/World Bank etc. for which credit agreements have been entered into by GoI with the respective development partners. Compliance with specific fiduciary requirements of the development partners will additionally need to be reported by the auditors. Copies of the legal agreements and other project documents will be provided to the auditors, if needed, by SHS/ concerned Programme Division in the State.

**6. Objective of audit services:**

The objective of the audit is to ensure that MoHFW receives adequate, independent, objective, professional audit assurance that the grant proceeds provided by MOHFW are used for purposes intended in line with approved PIPs and Annual Work Plan (AWP) of individual programs and that the annual financial statements are free from material mis-statements and the terms of the credit/ loan agreements of the development partners are complied with in all material respects.

The objective of the audit of the financial statements i.e. individual Financial Statements of State and District Health Society as well as the Consolidated Financial Statements of the State and District as a whole i.e. Balance Sheet, Income & Expenditure, Receipt & Payment, together with relevant accounting policies, applicable Financial reporting framework and applicability of relevant laws and regulations, notes to accounts and schedules, Bank Reconciliation Statements, Statement of Funds Position, Reconciliation of Expenditures as per Audited Financial Statements with the expenditure reported as per the Financial Monitoring Report (FMR) is to enable the auditor to express a professional opinion as to whether:-

(1) the Financial Statements give a true and fair view of the Financial Position of the individual DHS,SHS and Consolidated District and State Health Societies at the end of each fiscal year and of the funds received and expenditure incurred for the accounting period ended March 31, 2018 and are as per the applicable Financial Reporting Framework.

(2) the Financial Statements and books of accounts do comply with all the applicable laws and regulations.

(3) the funds were utilized for the purposes for which they were provided, and

(4) where programs are financed by development partners, the respective program expenditures are eligible for financing under the relevant grant/ credit agreement.

(5) the books of accounts as maintained by the State Health Societies, District Health Societies and other participating implementing units such as Blocks, CHC, PHCs, Sub Centers, Village Health Nutrition and Sanitation Committees (VHNSCs) etc. shall form the basis for preparation of the individual DHS and SHS financial statements as well as the consolidated financial statements for the State as a whole.

**7. Standards:** The auditor shall form an opinion on whether the Financial Statements are presented fairly, in all material respects, or give a true and fair view in accordance with the framework and an audit needs to be conducted in accordance with Standards on Auditing and relevant ethical requirements, that enables an auditor to form an opinion. The auditor needs to consider materiality when planning and performing the audit except where a certain minimum coverage of implementing units is specified, to reduce the audit risk to an acceptable level that is it should provide reasonably high level of assurance. In addition to the above, the auditor should specifically consider the risk of material misstatements in the financial statements resulting from fraud keeping an attitude of professional skepticism and using professional judgments.

## **8. Criteria for Selection of Auditors**

- **C&AG empanelled major audit firms:** The Chartered Accountant firms that are empanelled with C&AG for the year 2017-18 and eligible for performing major PSU audits, and the number of audits appointments are within the ceiling limits as prescribed under Companies Act, 2013 will only be eligible for applying for the audit of the NHM programme. In this regard firm needs to submit the details about the same in the **Form T-2** attached.
- **Selection through Open Tender System:** The selection of the Auditor shall be made through an Open Tender system.
- **Preference of firms having H.O./Local Branch office in the State Capital:** The firms having H.O./Local Branch Office in the capital of the State for which the proposal is given will be granted preference at the time of finalizing the financial bid. The aforementioned Head/Branch office must be in existence for a period not less than 3 years as per the ICAI records. However, in case of NE States/ UTs where availability of Auditor is rare, the States/UT may consider the proposals received from the audit firms existing in the neighboring States. Firms need to give an undertaking that the audit team is proficient in State's official language (both oral and written) and will be headed by a qualified Chartered Accountant on regular basis.

- **CA firms eligible for audit:** Chartered Accountant firms which are empanelled with C&AG for the year 2017-18 and eligible for doing major PSU audits only will be eligible for the audit of the NHM programme. Further, Chartered Accountant firms with major PSU audits (within the ceiling limits specified in Section 141(3) of Companies Act 2013) and having their H.O/ Branch Offices in designated State may be given additional weightage while evaluating the Technical Proposal. On clearance of Technical Proposal, the auditor will be finalized on the basis of financial bids. In this regard firms have to submit the details about the firm as per Form T-2 attached.
- **Disclosure of Minimum Fees in the RFP document:** The States are granted discretionary powers to fix the minimum fees for audit firms in the Tender document keeping in view of resources involved, number of districts (100% districts) and blocks (40%) to be covered during the course of audit and minimum number of days required to be devoted for completion of audit. The States may refer the website of “The Institute of Chartered Accountants of India (ICAI)” to decide the minimum fees. This should be in line with the guideline No.-1-CA(7)/03/2016 dated 7/4/2016 issued by the Institute of Chartered Accountants of India. The States may refer the same as indicative basis. Further, for the purpose of finalization of minimum fees the State may also take an average of the audit fees paid during the last 3 years.
- The minimum audit fee payable is Rs 462,613.00 excluding tax, as applicable.
- **Audit Fees and TA/DA:** The firms which are interested to be appointed need to quote a consolidated audit fees including expenses on TA/DA and taxes. In case the audit team requests the State for lodging arrangement etc. then the cost to the State for such lodging expenses etc. will be adjusted against the consolidated fees quoted. Bidding Firm should ensure that Audit Team abides to visit 100% Districts and at least 40% blocks within each district. The Audit Fee should be quoted considering this aspect
- **Maximum No. of Audits under NHM:** No audit firm or any network or related audit firm shall take the audit assignment for more than 3 States. A declaration in this regard may be obtained from the auditor.

- In case same audit fee is quoted by two or more CA firms, the selection of auditor shall be made considering the following factors (priority-wise)
  - (i) Past Experience for the F.Y. 2014-15, 2015-16 and 2016-17 in handling Government Contracts i.e. Department of Public Enterprises Govt. of Uttar Pradesh, Department of Public Enterprises Central Government & Centrally Sponsored Schemes & Central Sector Schemes & Conduct of the firm; and ( List Enclosed **Annexure-4**)
  - (ii) Average Turnover of the Firm in last three years

**9. The other major points related to Statutory Audit are as follows:**

- To ensure timely completion of audit, State should ensure that the books of accounts are completed in all aspects at all places before the inception of audit. Further, timely availability of information to the auditors should be ensured for completion of audit on time.
- In the pre-bid conference to be held, the participant firms should clearly be explained about the requirements of audit as regards to number of districts, blocks, physical visit of the team at each location, number of implementing agencies from which UCs/ SOEs are to be received and incorporated in Annual Financial Statements etc. so that a quality of the audit is not compromised as per SQC 1, “Quality Control for Firms that Perform Audit and Reviews of Historical Financial Information and other Assurance and Related Services Engagements”.
- It should be clearly ensured that a Standing Committee headed by Mission Director (NHM) is constituted in the State for the selection of auditor, to provide adequate support, follow up and compliance to the audit observations raised by the auditor during the audit and in the audit report furnished for the audit period of the previous years.
- After the completion of audit, State should organize an exit conference of the auditors to discuss the audit observations.
- A copy of the working papers of the auditors shall be retained by the Director (Finance)/SFM in the State.
- The process of appointment of auditor has to be completed by 30<sup>th</sup> April 2018 and intimation with regard to the auditor appointed along with the fees fixed and evaluation sheet for the appointment has to be submitted to the Ministry latest by 10<sup>th</sup> May 2018.

- The State should get the audit of all the District Health Societies (i.e. 100% of the districts & more than or equal to 40% of number of blocks) completed by 30<sup>th</sup> June 2018 and the Audit Report needs to be issued before 31<sup>st</sup> July 2018.
- The consolidation of audit reports of all the districts with State along with all the Supporting Documents such as, Accounting Policies, Notes on Accounts and Management Representation Letter (MRL) is to be completed by the State in time and final report shall be submitted to the Ministry latest by 31st July 2018.
- Spiral bound Audit Report as per Appendices of the RFP needs to be submitted to the Ministry in triplicate. Also the soft copy (PDF/Scanned) should be mailed to [fmg.mohfw2015@gmail.com](mailto:fmg.mohfw2015@gmail.com) and in a C.D. also by 31st July 2018.

**10. Scope & Coverage of audit:** In conducting the audit special attention should be paid to the following:

- a) An assessment of adequacy of the project financial systems, including financial controls. This should include aspects such as adequacy and effectiveness of accounting, financial prevalent internal and operational controls; level of compliance with established policies, plans and procedures; reliability of accounting systems, data and financial reports, methods of remedying weak controls, verification of assets and liabilities and a specific report on this aspect would be provided by the auditor annually as part of the management letter;
- b) Funds have been spent in accordance with the condition laid down by the Department of Health & Family Welfare, Government of India from time to time with due attention to economy and efficiency and only for the purpose for which the financing was provided. Also verifying that counterpart contribution from State Government, where required has been provided.
- c) Goods and services financed have been procured in accordance with the relevant procurement guidelines issued by the GoI/State Government. However, for various programmes, special attention must be paid to the requirements of the agreement between GoI and Development Partners (RNTCP, IDSP, NVBDCP, etc.). Such requirements are available with the State/District's concerned Program Officers. For such externally funded programmes, auditor must satisfy that all expenditure, including procurement of goods and services have been carried out as per the procurement manual of the individual programmes and guidelines issued by the Programme Divisions of GoI and have all the necessary supporting documentation.
- d) All necessary supporting documents, records and accounts have been kept in respect of the project.
- e) **Sample Coverage of sub district Implementing Units:** Audit will cover 100% District Health Societies (DHSs) each being a legally registered society and at least 40% of the Block Level CHC/PHC (*at least 50% of such blocks Should be those which were not covered in audit of the previous financial year and remaining may be those covered in the*



*audit of last year*). The sample shall be selected in a manner that Block level PHC/CHC in each district is included in the sample coverage. All the vouchers pertaining to the health facilities will be available at the respective health facility (DH, CHC/PHCs) for the purpose of audit. Audit shall also cover audit of expenses related to NHM incurred through Rogi Kalyan Samities (RKSs) at each level i.e. PHC/ CHC/ DH.

f) The Statutory Auditor may review the concurrent audit reports/quarterly executive summaries and may consider material observations/findings (as per SA 610) while forming his opinion on overall internal control and truth & fairness of accounts/financial statements. However the auditor shall be solely responsible for the opinion formed on the basis of these reports, as he needs to verify the due competence and reliability of the information used while forming an opinion.

g) The Auditor is required to comply with all the Standards on Auditing, Assurance Standards and Standard on Quality Control while performing audits. Due focus is to be given on the compliance with the Accounting standards and laws and regulations as applicable.

h) The auditor is expected to use professional judgment, ethical requirements pertaining to an audit, attitude of professional skepticism and sufficiency of appropriate audit evidence needs to be maintained.

i) The auditor will certify the delay in transfer of Central Government Grants from State Treasury to State Health Society.

j) The auditor is required to ascertain that whether the State Health Society has claimed the interest accrued from State Treasury, where the delay in transfer of funds from State Treasury to SHS was more than 15 days from the date of receipt of Central Grants by the State.

## **11. Project Financial Statements**

A format of such financial statements and relevant schedules showing the consolidation of all the programmes is given at (**APPENDIX A - FORMAT of FINANCIAL STATEMENTS**) and also on the website of MoHFW at [www.nhm.gov.in](http://www.nhm.gov.in).

Project Financial Statement (SHS, DHS and Consolidated) shall include the following:

- i. Audit Opinion as per **APPENDIX-C**.
- ii. Balance sheet showing accumulated funds of the project balances, other assets of the project, and liabilities, if any.
- iii. Income & Expenditure account for the year ending on 31<sup>st</sup> March 2018.
- iv. Receipt and Payment Account for the year ending on 31<sup>st</sup> March 2018.

- v. Other Schedules to the Balance sheet as appropriate, but which shall include
- Statement of Fixed Assets in the form of a Schedule,
  - Schedule of Loans and Advances (Age-wise analysis),
  - Schedule of all Cash & Bank Balances (supported by bank reconciliation statements),
  - Program wise statement of expenditure.

v. Notes to Accounts showing the accounting policies followed in the preparation of accounts in the State Health Society and District Health Societies and any other significant observation of the auditor.

vi. Auditor shall have to specify the significant observations, including internal control weaknesses for each program and also specify the institution to which these relates to enable/facilitate appropriate follow up action.

vii. Sanction wise Utilization Certificates (UCs) as per Form 12-C of GFR 2017 signed by the Mission Director and Auditor signing audit report; duly tallied with the Income & Expenditure Account and Expenditure incurred on Fixed Assets during the financial year (which have been capitalized) [**Attach a statement showing the details of expenditures clubbed in the Utilization Certificate tallying with the Income & Expenditure Account and Schedules forming part of it**].

**Also, a separate utilization certificate for state share contribution needs to be issued by the auditor.**

viii. Action Taken Report on the previous year's audit observations.

ix. Reconciliation of the FMR Expenditures of the last quarter i.e. 31<sup>st</sup> March 2018 with expenditure as per the Annual Audited Financial Statements in the FMR format only for the financial year covered by audit period identifying the variance and the reasons for the same. This has to be certified by the auditor.

x. **Representation by Management:** The DHS and SHS management should sign the financial statements and provide a written acknowledgement of its responsibility for the preparation and True and Fair presentation of the financial statements and an assertion that the project funds have been expended in accordance with the intended purposes as reflected in the financial statements.

## **12. Financial Monitoring Reports (FMR)**

In addition to the primary opinion on the financial statements, the auditor is required to audit last quarter FMR (quarter ending March) submitted to MOHFW. The auditor should apply such tests as the auditor may consider under the circumstances to satisfy the audit objective and reliability of the audit report. Where ineligible expenditures are identified as having been included in the financial reports, these should be separately noted by the auditors. The audit

report should include a separate paragraph commenting on the accuracy and propriety of expenditures included in the financial statements and FMRs including whether procurement procedures have been followed, and the reliability and authenticity of the FMRs by GoI taking due care of the anomalies present in the statements.

In addition to the audit reports, the auditor will prepare a “Management representation letter” as per **Appendix-D**, in which the auditor should summarise the observation on the internal control issues (other than those which materially affect his opinion on the financial statements) as under:

- Give comments and observations on the accounting records, systems and internal controls that were examined during the course of the audit;
- Identify specific deficiencies and area of weakness in the system and internal controls and make recommendations for their improvement;
- Report on the level of compliance with the financial internal control.
- Report procurements which have not been carried out as per the procurement manual/ guidelines of the State for the individual programmes such as; RCH-II, RNTCP, IDSP etc.
- Communicate matters that have come to the attention during the audit which might have significant impact on the implementation of the project; and
- Bring to Society’s attention any other matter that the auditor considers pertinent.

**The observations in the management letter must be accompanied by a detailed annexure and of the implications, suggested recommendations from the auditors and management comments/ response on the Observations/recommendations have to be obtained and reported along with the Audit Report.**

### **13. Reporting and Timing**

The final Audit Report should be submitted by **31<sup>st</sup> July 2018**, (i.e. within four months of the end of the financial year) to the State Health Society and the State Health Society should then promptly forward **3 copies (Spiral Bound) and also soft copy in MS Excel / MS Word and Scanned(Both) is also to be submitted in mail or CD** of the audited financial statements and audit report along with the **final Utilisation Certificates** signed by the State and Auditor both, to GoI with their comments, if any.

In case State has opted to appoint **multiple auditors** for a group of districts and State, in such cases the Auditor appointed for a group of districts, shall have to issue a separate audit report for each district and provide a soft copy of the same also (Word/ Excel). Audit Reports for all districts in such cases shall have to be issued by **31<sup>st</sup> July, 2018** so that consolidated report of the State is not delayed and issued by **31<sup>st</sup> July, 2018**, Due compliance of SA 299 – Responsibility of Joint Auditors as issued by ICAI, should be ensured in this case.

Submission of the Statutory Audit Report by the prescribed date is a ROP conditionality for release of second tranche of funds to the State which ultimately ensures smooth implementation of the Mission and leads to better outcomes as funds are expended when needed by the State. In view of the above following measures need to be taken by the State:-

- The duty of the State is to ensure that the process for appointment of the auditor is completed by 30<sup>th</sup> April and intimation of the auditor appointed along with the fees fixed & evaluation sheet for the appointment has to be submitted to the Ministry latest by 10<sup>th</sup> May, 2018. Also timely availability of information to the auditor needs to be ensured. The same needs strict compliance.
- The State should make sure that complete cash book, ledgers, vouchers and other financial statements are ready at the time of visit of auditors.
- **Penal provision on failure to complete the Audit on time:** In order to ensure timeliness on the part of the Auditor, if the State feels that in spite of providing all information, documents, and updated books of accounts, there was delay in submission of Audit Report from the auditor, the *State may deduct the audit fees @ 5% per month from the due date of completion of audit.* A clause in this regard should be incorporated by the State in the agreement. However, in case of delay in submitting the audit report due to unforeseen circumstances like flood, earthquake, election, etc., the Mission Director (NHM) of the State has the right to waive off the penalty. Further, before imposing penalty, the firm may be given an opportunity to be heard.

#### 14. Additional Instructions to Auditors

- a. Audit Report of the State Health Society (SHS) shall include audit of all the transactions at the State level as well as all the transactions in the District Health Societies (DHSs) within the State.
- b. Audit for the financial year will include all the components under NHM.
- c. The auditor appointed shall be **required to issue separate Consolidated Audit Report for the State and each District, comprising all programmes under NHM (RCH, Mission (HSS), RI, PPIP, NUHM, NDCPs & NCDs). Auditor appointed for the State, in case of multiple auditor, shall prepare a consolidated Report for the State. However, in case of RNTCP and IDSP, a separate audit report with required annexures and schedules shall also have to be issued by the State / District Level Auditor. The relevant formats for Audit Report as issued by RNTCP Division are given as Appendix-C)**
- d. All State level report shall have to be issued in three sets (Two sets to MoHFW and one set for State). Consolidated Report is to be sent to NHM-Finance Division and individual reports of individual programmes along with UCs to the respective programme divisions of the Ministry).
- e. Financial Statements and relevant schedules forming part of Financial Statements shall be prepared in accordance with the format provided by Ministry of Health and Family Welfare, GoI (**APPENDIX-A - FORMAT of FINANCIAL STATEMENTS**). However, specific programme requirements (in accordance with the agreement with the GoI and Development Partners) may also be incorporated in the separate schedule of the programme.

- f. Auditor shall certify all the Utilization Certificates in the prescribed format (Form 12C of GFR, 2017) of GOI for all programmes of NHM. The Utilisation Certificate shall be furnished sanction-wise and Utilisation Certificate shall be issued for each sanction issued during the respective financial year. The Utilization Certificates should be jointly signed by the Mission Director, State Programme Officers in charge of concerned Programme and the Auditor.
- g. The auditor shall also append the Checklist (*APPENDIX-B- CHECKLIST FOR AUDITOR*)
- h. The auditor shall certify the FMR on the basis of audited expenditures with all the line activities for the last quarter (quarter ending March 2018..... showing cumulative and head wise expenditure for the complete financial year) along with the Audited Statement of Accounts. Auditor shall certify a comparative statement showing expenditure as per FMR and as per Audit Report. Auditor must also document the reason for variances between the FMR figures and audited figures in cases where the variances are significant e.g. more than 15% from the audited figures at each component level.
- i. Audit Opinion as per the Model Format provided at *APPENDIX-C*.
- j. Management Letter as per *APPENDIX-D* along with the comments/reply of the Mission Director, State Health Society.

**15. Re-appointment of Auditor:** The auditor once appointed can continue for two more years, subject to the satisfaction of the auditor's performance by the State. The State which wishes to re-appoint the same auditor shall have to seek the approval of the Executive Committee after obtaining the consent of the auditor and confirming that the said firm is in the panel of C&AG and eligible for conducting audit of major PSUs for the year for which the firm is being re-appointed, provided no disqualification is attracted to the auditor. Further, any comments/remarks/observation of the Ministry in this regard shall have to be taken into account while re-appointing the same auditor.

**It is also clarified that "No auditor can take the assignment of more than three (3) audits under NHM. A certification in this regard may be obtained from the auditor."**

**16. General Provision:** The State should ensure that the Auditor must be appointed for all the disease control programmes under NHM and Uniform Accounting system is being followed for all the disease control programmes under NHM. The State should also ensure that the auditor should follow the latest formats given in the RFP.

The auditor shall be given access to all the information/documents required by the auditor for smooth conduct of the audit for the purpose of conducting the audit, in addition to all financial and procurement records, SPIPs, AWP, MOU/LOU signed between MOHFW and the State/ SHS, instructions issued by MOHFW regarding scheme guidelines (e.g. JSY etc.), administrative orders

issued by the SHS/ DOHFW/ Directorate of Health including cost norms etc. Where programs are financed by Development Partners copies of the legal agreement, project appraisal document should be made available to the auditors.

## **Guidelines for Submitting the Proposals:**

Agencies are required to submit the proposal as per the guidelines and formats detailed out in the following paras:

- i. The original and all copies of the Technical Proposal shall be placed in a sealed envelope clearly marked “TECHNICAL PROPOSAL” Similarly, the original Financial Proposal shall be placed in a separate sealed envelope clearly marked “FINANCIAL PROPOSAL” followed by the name of the assignment and with a warning “DO NOT OPEN WITH THE TECHNICAL PROPOSAL.” The envelopes containing the Technical and Financial Proposals shall be placed into an outer envelope and sealed. This outer envelope shall bear the submission address, reference number and title of the Assignment, and be clearly marked “DO NOT OPEN, EXCEPT IN PRESENCE OF THE OFFICIAL APPOINTED. The Society shall not be responsible for misplacement, loss or premature opening if the outer envelope is not sealed and/or marked as stipulated. This circumstance may provide a case for Proposal’s/bid’s rejection. If the Financial Proposal is not submitted in a separate sealed envelope duly marked as indicated above, this shall constitute grounds for declaring the Proposal non-responsive/invalid.
- ii. Single Proposal (Multiple Firms): In case State decides to appoint more than one C.A. firm as auditor, the Bidding CA firm may submit proposal for State and also for one Group of districts.
- iii. All agencies must comply with the Technical Specification, General Conditions and Format/Requirements for Technical and Financial proposal.
- iv. The Technical Proposal shall be marked “ORIGINAL” or “COPY” as appropriate. All required copies of the Technical Proposal are to be made from the original. If there are discrepancies between the original and the copies of the Technical Proposal, the original governs.
- v. Financial Proposals submitted by the firm should be valid for 6 months from the date of submission of the proposal by the firm.
- vi. Each page, Form, Annexure and Appendices of the Technical and Financial Proposal must be signed by the authorised signatory of the firm.
- vii. All blank spaces in the financial proposal must be filled in completely where indicated, either typed or written in ink.

- viii. State Health Society (SHS) reserves the right to accept or reject any proposal without giving any explanation and can change the evaluation criteria as per its requirements in the interest of the organization.
- ix. If the required constitution of the team is not deployed the State may take appropriate action as it deems fit (including blacklisting of the firm) against the firm, keeping the Ministry informed.
- x. A firm cannot undertake the audit assignments of more than three States in a year. The audit assignment must be opted for as awarded by States chronologically i.e. on First Come First Served Basis. If a CA Firm appointed in more than 3 States then they have to withdraw their name so as to keep it up to 3 States/UTs only. As a State may opt to appoint multiple auditors, therefore, if a firm appointed for audit of a group of districts of any State then for the purpose of ceiling of 3 States, group of State shall take as a State.
- xi. The firm shall give an undertaking that the team members are proficient in the State's official language (both oral and written). The auditors must have the H.O/ Branch Office in the allotted State. (Form U). However, in case if NE States/UTs where availability of Auditor is scarce, the States/UT may consider the proposals of audit firms from the neighboring States
- xii. Firm shall have to depute appropriate number of teams for timely submission of Audit Report and to attain quality of audit.
- xiii. Each team shall have to be headed by a qualified Chartered Accountant.

**Technical & Financial Proposal will consist:**

- i. Letter of Transmittal (*Form T-1*)
- ii. Technical Proposal format (*Form T-2*)
- iii. Financial Bid format (*Form F-1*)
- iv. Undertaking of presence of HO/Branch offices in State (*Form U*)



**Letter of Transmittal**

To  
The Mission Director,  
State Health Society,  
Name & Address of State

Sir,

We, the undersigned, offer to provide the audit services for [*Name of State Health Society*] in accordance with your Request for Proposal dated [*Insert Date*]. We are hereby submitting our Proposal, having details about the firm and proposed audit fees.

We hereby declare that all the information and statements made in this Proposal are true and accept that any misinterpretation contained in it may lead to our disqualification.

The Fees quoted by us is valid till six months from the date of submission of the proposal. We confirm that this proposal will remain binding upon us and may be accepted by you at any time before the expiry date.

Prices have been arrived independently without consultation, communication, agreement or understanding (for the purpose of restricting competition) with any competitor.

We agree to bear all costs incurred by us in connection with the preparation and submission of the proposal and to bear any further pre-contract costs.

**We understand that State Health Society [*Insert Name of the State*] is not bound to accept the lowest or any proposal or to give any reason for award, or for the rejection of any proposal.**

I confirm that I have authority of [*Insert Name of the C.A. Firm*] to submit the proposal and to negotiate on its behalf.

Yours faithfully,

( )

**Form T-2**  
**Format for Technical Proposal**

Sl. No.	PARTICULARS	Supporting Documents required to be submitted along with this Form
1	Name of the Firm	
2	Addresses of the Firm:	
	Head Office	Phone No:
		Fax No:
		Mobile No. of Head Office In-charge:
	Date of establishment of the firm	
	Date since when is H.O. at the existing Station	
	Branch Office 1,2,3.....(Particulars of each branch to be given)	Phone No: Fax No: Mobile of each Branch Office In-charge:
	Mention the date of establishment of each branch offices since when existed at the existing place	
3	Firm Income Tax PAN No.	Attach copy of PAN card
4	Firm Service Tax Registration No.	Attach copy of Registration
5	Firm's Registration No. with ICAI	Attach a copy of certificate downloaded from ICAI Website showing the name & address of H.O., B.O. and partners etc.
6	Empanelment No. with C&AG	Attach proof of empanelment with C&AG for the year under Audit (2017-18) confirming that the firm is eligible for major PSU audits.
7	No. of Years of Firm Existence & Date of establishment of Firm	Attach copy of Partnership Deed
8	Turnover of the Firm in last three years (2014-15, 2015-16 & 2016-17)	Attach a copy of Balance Sheet and P & L Account of the last three years or a C.A. Certificate Give Break-up of Audit Fee and Other Fees Received.
9	Audit Experience of the Firm for the F.Y. 2014-15, 2015-16 and 2016-17: 1. Number of Assignments in Commercial/Statutory Audit 2. Number of Assignments in Government Contracts i.e. Department of Public Enterprises Govt. of Uttar Pradesh, Department of	Copy of the Offer Letter & the Fee Charged for each assignment. (Relevant evidences to be given of the turnover and fee)

	Public Enterprises Central Government, Centrally Sponsored Schemes & Central Sector Schemes 3. Experience in the NHM audit	
10	<p><b>Details of Partners:</b> <b>Provide following details:</b></p> <ul style="list-style-type: none"> <li>• Number of Full Time Fellow Partners associated with the firm <ul style="list-style-type: none"> <li>• Name of each partner</li> </ul> </li> <li>• Date of becoming ACA and FCA <ul style="list-style-type: none"> <li>• Date of joining the firm <ul style="list-style-type: none"> <li>• Membership No.</li> <li>• Qualification</li> <li>• Experience</li> </ul> </li> </ul> </li> <li>• Whether the partners are engaged full time or part time with the firm</li> <li>• Their Contact Mobile No., email and full Address (Attested copy of Certificate/letter of ICAI not before 01/01/2018)</li> </ul>	<p><b>Attested copy of Certificate of ICAI not before 01.01.2018</b></p>

**Note:** The firm shall give an undertaking that the team members are proficient in the State's official language (both oral and written).

The details of audited organizations may be indicated at the prescribed format given at Annexure -2 (enclosed). The firms are to attach copies of the offer letters.

**Turnover of the firm:** Average turnover of the firm during the years 2014-15, 2015-16 and 2016-17 Annexure -3 (enclosed) according to the firm's audited profit and Loss Accounts of the relevant years. The firms are to attach copies of audited Balance Sheets and Profit & Loss Accounts of the relevant years assigning Annexure number to each such attachment.

## Annexure-2

(Ref: para -8 in respect of past experience of the firm under Commercial/Statutory Audit in last three years )

### Name of the Chartered Accountants firm:

Statement showing details of the units audited by the firm in the handling Government Contracts i.e. Department of Public Enterprises Govt. of Uttar Pradesh, Department of Public Enterprises Central Government & Centrally Sponsored Schemes & Central Sector Schemes & Conduct Commercial/Statutory Audit types of audit, year of accounts audited during last three years (2014-15, 2015-16 and 2016-17). (Refer to the **Annexure-4**)

Sl No.	Name and address including telephone Number(s) and e-mail id of the unit audited	Whether copy of audit assignment letter enclosed* indicating letter No and date of the Assignments	Year of statutory audit conducted
-1	-2	-3	-4
1			
2			
3			

\*Please indicate the Annexure number

Certified that the above information furnished is true and at any time if any of the above information found incorrect/false, that I shall be held responsible for the same for taking any legal action that may deem fit including disqualification.

Name and Signature of  
Partner

Seal of the  
firm

### Annexure-3

Turnover of the Firm in last three years (2014-15, 2015-16 & 2016-17)

<b>Sl No.</b>	<b>Financial Year</b>	<b>Break-up of Audit Fee Received</b>	<b>Other Fees Received</b>	<b>Total</b>
-1	-2	-3	-4	-5
1	2014-15			
2	2015-16			
3	2016-17			

**Certified that the above information is true and at any time if any of the above information found incorrect/false, that I shall be held responsible for the same for taking any legal action that may deem fit including disqualification.**

**Name and Signature of  
Partner**

**Seal of the firm**

**FORMAT FOR FINANCIAL BID**

**(Please provide the break-up of Firm's quoted fees for each work and unit)**

<b>Particulars</b>	<b>Total Amount (in Rupees)</b>
<p><b>AUDIT FEE</b></p> <p>a. Audit fess----- (Including cost of TA/DA)</p> <p>b. Service Tax-----</p> <p>c. Total Fees-----</p> <p><b><u>Note:</u> Percentage of funds involved shall not be a basis of quoting the Audit Fee.</b></p>	<p>Both in Numeric and in Words.</p> <p>Rs. _____/-</p> <p>(Rupees _____).</p>

**Note: In case of change in the rate of Service Tax, the revised Service Tax shall be paid.**

(Letter of undertaking for having the local office in the state)

To  
The Mission Director,  
State Health Society,  
Name & Address of State

Sir,

We, the undersigned offer to provide the audit services for [ *Name of State Health Society*] in accordance with your Request for Proposal dated [ *insert date*].We hereby submit our Proposal, having details about the firm and proposed audit fees.

We hereby declare that our firm is having Head/ Branch offices in the State of .....  
and is situated at .....  
..... address  
proof (photocopy of letter for incorporation of firm, lease agreement, phone connection, Electric Connection etc..) in regard of this office in the State is enclosed herewith for needful.

We hereby also give an undertaking that the firm’s staff deputed for the audit are proficient in State’s/UT’s local language, both in oral and written form.

We hereby understand that any information given here if found to be false or misleading will be treated as fraud and appropriate action can be taken in this regard.

Yours faithfully,

( )

Encl:

- 1.....
- 2.....

## **Selection Process of the Auditor:**

For the purpose of the appointment of the statutory auditor for 2017-18, following points should be taken into account-

1. Open advertisement (as per Format for Advertisement as at Form-A) in leading newspapers at State level and National level for inviting proposals from CAG empanelled Chartered Accountant firms for statutory audit of State and District Health Societies should be issued first. A copy of the advertisement shall also be e-mailed to the Institute of Chartered Accountants of India (ICAI) for webhosting on ICAI website at secretary@icai.in & secretary@icai.org. (Format of the advertisement is enclosed) – A copy of the advertisement shall have to be sent to FMG in MOHFW. Advertisement along with the detailed RFP shall also to be uploaded on the State's NHM website.
2. A pre-bid conference shall be held (date to be indicated in the advertisement) wherein doubts that the potential bidders may have shall be clarified.
3. The Executive Committee of the SHS will form a Standing Committee on Audit (SCA) with suitable representation from programme and finance wings. The SCA should invariably headed by the Director-Finance or other person nominated by the Mission Director. This Standing Committee will also act as the Selection Committee for the selection of auditors. The SCA will subsequently monitor the audit process and the follow-up on audit paras and Action Taken Reports on those audit paras. After the selection of auditor by SCA the same will have to be approved in the meeting of Executive Committee of the SHS.

The detailed scheduled with regard to the tendering process shall be as under:-

**Advertisement:** Advertisement should be made latest by the 29<sup>th</sup> June, 2018 so the process of appointment of auditor is completed before 29<sup>th</sup> July, 2018.

**Date for collection of RFP:** Within 12 days of advertisement i.e. 09.7.2018.

**Date of pre-bid conference:** Next day of the last date for collection of the RFP 04.7.2018.

**Last date and time for submission of Proposal:** Within one week from the date of pre-bid conference 11.7.2018.

**Date and time of opening of Tender:** On the day of closing of submission of proposal and after 2 hours of the closing time i.e. 11.7.2018.

The selection process of auditor shall be subject to review by Financial Management Group, MOHFW, GOI / Office of Chief Controller of Accounts, MOHFW, GOI / Audit parties of the AG or any authorized person of the Ministry of Health and Family Welfare, Government of India.

The State at the time of selection of the Statutory Auditor must ensure that the firm was not engaged as Concurrent Auditor of the State during the financial year 2017-18 or a part of it.



The selection will be done by selecting the firm having lowest quotation in Financial Bid (L-1) after finalizing the Technical Proposal. While finalizing audit firms, the firms having H.O./Local Branch Office in the State capital of the same State for which the proposal is given may be given preference at the time of finalizing the financial bid. (Such office should be existed within the State for not less than three years as per the ICAI Certificate). That is any firm with 2<sup>nd</sup> lowest financial bid may be considered for appointment for Statutory Auditor if that firm is having a head office or local branch office in that State.

On completion of selection process, the firm selected shall be awarded the contract of audit of SHS & DHS by issuing the Letter of Award (LOA). The firm should execute a Contract with the State Health Society (SHS) within 2 weeks of the award of the issuance of LOA.

**In case the bidding firm is found not suitable for audit on any reasonable ground like information by the Ministry/ ICAI/ any State etc., State may reject such proposal without giving any reason.**

**Form – A (Format of Advertisement)**

Government of Uttar Pradesh  
Health & Family Welfare Department  
State Health Society

**E-Tender Notice**

**SELECTION OF AUDITORS - REQUEST FOR PROPOSAL**

**HIRING SERVICES OF CHARTERED ACCOUNTANT FIRM FOR STATUTORY  
AUDIT OF STATE HEALTH SOCIETY (SHS) and DISTRICT HEALTH SOCIETY  
(DHS) - (FOR THE FINANCIAL YEAR 2017-18) under National Health Mission  
(NHM)**

Govt of India (GoI) in partnership with the States is implementing the National Health Mission (NHM) which comprises various programs, with the objective of improving medical facilities in the areas and seeks to provide accessible, affordable and quality health care to the population, especially the vulnerable sections. To facilitate implementation of NHM, State and District level entities (Health Societies) have been registered which work under the administrative control of the Department of Health & Family Welfare. The Uttar Pradesh State Health Society, invites “Proposal for audit” from **firms of Chartered Accountants empanelled with C& AG and eligible for conducting major PSUs audit for the year 2017-18.**

**Detailed RFP:** Detailed Request for Proposal (RFP) comprising Background, Terms of Reference (ToR) and Guidelines for submitting the proposal can be either downloaded from the State’s website [www.etender.up.nic.in](http://www.etender.up.nic.in) or [www.upnhm.gov.in](http://www.upnhm.gov.in).

**Important Dates:**

- i. Date of tender Publishing: **29.06.2018**
- ii. Last date for Download of RFP from website: **11.07.2018 (at 2:00 PM)**
- iii. Date for pre-bid conference: **04.07.2018 (at 1:00 PM)**
- iv. Last date for submission of Proposal to SHS: **11.07.2018 (at 2:00 PM)**
- v. Date of opening of Technical bid: **11.07.2018 (at 4:00 PM)**
- vi. Date of opening of financial bid: **18.07.2018 (at 4:00 PM)**

Venue for Pre-bid Conference: Pre-bid Conference would be held at Meeting Hall, National Health Mission (NHM), State Programme Management Unit (SPMU), Vishal Complex, 19-A Vidhan Sabha Marg, Lucknow

**Mission Director,  
State Health Society, Uttar Pradesh**

**Address:**

Mission Director,  
SHS of Uttar Pradesh, Government of Uttar Pradesh  
Email id: [acs.nrhm@gmail.com](mailto:acs.nrhm@gmail.com)  
Phone: 0522-2236894, 2237501 Fax : 0522-2237360  
Website: [www.upnrhm.gov.in](http://www.upnrhm.gov.in)

Distt. Wise detail of Block unit

<b>Sl. No.</b>	<b>District Name</b>	<b>Number of Blocks</b>
1	Agra	15
2	Aligarh	12
3	Allahabad	20
4	Ambedkar Nagar	9
5	Auraiya	7
6	Azamgarh	22
7	Bagpat	6
8	Bahraich	14
9	Balia	17
10	Balrampur	9
11	Banda	8
12	Barabanki	15
13	Bareilly	15
14	Basti	14
15	Bijnor	11
16	Budaun	15
17	Bulandshahr	16
18	Chandauli	9
19	Chitrakoot	5
20	Amethi	13
21	Deoria	16
22	Etah	8
23	Etawah	8
24	Faizabad	11
25	Farrukhabad	7
26	Fatehpur	13
27	Firozabad	9
28	Gutam Buddha Nagar	4
29	Ghaizabad	4
30	Ghazipur	16
31	Gonda	16
32	Gorakhpur	19
33	Hapur	4
34	Hamirpur	7
35	Hardoi	19
36	Jalaun	9
37	Jaunpur	21
38	Jhansi	8
39	Jyotiba Phule Nagar	6
40	Kannauj	8
41	Kanpur Dehat	10
42	Kanpur Nagar	10
43	Kashi Ram Nagar	7
44	Kaushambi	8
45	Lakhimpur Kheri	15
46	Kushinagar	14

47	Lalitpur	6
48	Lucknow	8
49	Hathras	7
50	Mahoba	4
51	Maharajganj	12
52	Mainpuri	9
53	Mathura	10
54	Mau	9
55	Meerut	12
56	Mirzapur	12
57	Moradabad	8
58	Muzaffarnagar	9
59	Pilibhit	7
60	Pratapgarh	17
61	Rae Bareli	18
62	Rampur	6
63	Saharanpur	11
64	Sambhal	8
65	Sant Kabir Nagar	9
66	Sant Ravidas Nagar	6
67	Shahjahanpur	15
68	Shamli	5
69	Shrawasti	5
70	Siddharth Nagar	14
71	Sitapur	19
72	Sonbhadra	8
73	Sultanpur	13
74	Unnao	16
75	Varanasi	8
<b>Total</b>		<b>820</b>

**List of Public Enterprises Central Government**

<b>S.No.</b>	<b>Name of the PSU</b>
1	Agriculture Insurance Company of India
2	Air India Express Limited
3	Air India Engineering Services
4	Air India Limited
5	Airline Allied Services Limited
6	Airports Authority of India
7	Akaltara Power
8	Andrew Yule & Co Ltd
9	Antrix Corporation
10	Artificial Limbs Manufacturing Corporation of India
11	Assam Ashok Hotel Corporation Ltd
12	Balmer Lawrie & Company
13	Balmer & Lawrie Investments
14	BEL Optoelectronic Devices (BEL)
15	Bengal Chemicals & Pharmaceuticals
16	Bharat Bhari Udyog Nigam
17	Bharat Coking Coal
18	Bharat Dynamics
19	Bharat Earth Movers(BEML)
20	Bharat Electronics Limited
21	Bharat Heavy Electricals(BHEL)
22	Bharat Immunologicals and Biologicals Corporation

23	Bharat Petroleum
24	Bharat Pumps & Compressors
25	Bharat Refractories
26	Bharat Sanchar Nigam Limited
27	Bharatiya Nabhikiya Vidyut Nigam
28	Bhartiya Rail Bijlee Corporation
29	Biecco Lawrie
30	Bihar Drugs & Organic Chemicals Limited
31	Bokaro Kodarma Maithon Transmission Company
32	Brahmaputra Cracker and Polymer Limited
33	Brahmaputra Valley Fertilizer Corporation
34	Braithwaite & Company
35	Braithwaite, Burn & Jessop Construction Company
36	Bridge and Roof Company
37	British India Corporation
38	Broadcast Engineering Consultants India
39	Burn Standard Company
40	Cement Corporation of India
41	Central Coalfields Limited
42	Central Cottage Industries Corporation of India Limited
43	Central Electronics Limited
44	Central Mine Planning and Design Institute
45	Central Railside Warehousing Company
46	Central Warehousing Corporation
47	Certification Engineers International Limited
48	Chennai Petroleum Corporation
49	Coal India
50	Coastal Karnataka Power Limited

51	Coastal Maharashtra Mega Power Limited
52	Coastal Tamil Nadu Power Limited
53	Cochin Shipyard
54	Container Corporation of India Limited
55	Cotton Corporation of India
56	Damodar Valley Corporation
57	Dedicated Freight Corridor Corporation of India
58	Delhi Metro Rail Corporation Limited
59	Donyi Polo Ashok Hotel
60	Dredging Corporation of India
61	East North Interconnection Company
62	Eastern Coalfields Limited
63	Cng and Png Supplying companies
64	Educational Consultants India Limited
65	Electronics Corporation of India
66	Engineering Projects (India) Limited
67	Engineers India Limited
68	Kamarajar Port Limited (erstwhile Ennore Port Limited)
69	Export Credit Guarantee Corporation of India
70	FCI Aravali Gypsum & Minerals India Limited
71	Ferro Scrap Nigam Limited
72	Fertilisers and Chemicals Travancore
73	Fertilizer Corporation of India Limited
74	Food Corporation of India
75	Fresh & Healthy Enterprises
76	GAIL (India) Limited

77	Garden Reach Shipbuilders & Engineers
78	General Insurance Corporation of India Limited (GIC)
79	Ghogarpalli Integrated Power Company Limited
80	Goa Shipyard
81	Handicrafts and Handlooms Export Corporation of India
82	Heavy Engineering Corporation
83	Hindustan Aeronautics Limited
84	Hindustan Antibiotics
85	Hindustan Copper Limited
86	Hindustan Fertilizer Corporation Limited
87	Hindustan Fluorocarbons Limited
88	Hindustan Insecticides
89	Hindustan Newsprint
90	Hindustan Paper Corporation
91	Hindustan Petroleum Corporation Limited
92	Hindustan Prefab Limited
93	Hindustan Salts Limited(Sambhar salt)
94	Hindustan Shipyard
95	Hindustan Steelworks Construction Limited
96	HLL Lifecare
97	Hooghly Dock & Port Engineers Limited
98	Hooghly Printing Company
99	Housing and Urban Development Corporation
100	HSCC
101	IDPL (Tamil Nadu) Limited
102	IFCI Limited
103	II Power Electronics Limited



104	India Infrastructure Finance Company
105	India Tourism Development Corporation
106	India Trade Promotion Organisation
107	Indian Drugs & Pharmaceuticals
108	Indian Medicines & Pharmaceutical Corporation
109	Indian Oil Corporation
110	Indian Railway Catering and Tourism Corporation
111	Indian Railway Finance Corporation
112	Indian Rare Earths Limited
113	Indian Renewable Energy Development Agency
114	Indian Vaccine Corporation
115	Instrumentation Control Valves
116	ITI
117	J & K Mineral Development Corporation
118	Jagdishpur Paper Mills
119	Jute Corporation of India
120	Kanti Bijlee Utpadan Nigam
121	Karnataka Antibiotics & Pharmaceuticals
122	Karnataka Trade Promotion Organisation
123	KIOCL
124	Kochi Refineries
125	Konkan Railway Corporation
126	Kumarakruppa Frontier Hotels
127	Madhya Pradesh Ashok Hotel Corporation
128	Madras Fertilizers Limited
129	Mahanadi Coalfields Limited
130	Mahanagar Telephone Nigam Limited
131	Maharashtra Elektros melt

132	Mangalore Refinery & Petrochemicals
133	Manganese Ore India
134	Mazagon Dock
135	MECON Limited
136	Millennium Telecom
137	Mineral Exploration Corporation Limited
138	Mishra Dhatu Nigam
139	MMTC
140	MSTC Limited
141	Mumbai Railway Vikas Corporation
142	Nagaland Pulp & Paper Company
143	NHPC Limited
144	National Aluminium Co Ltd
145	National Aviation Company of India
146	National Backward Classes Finance and Development Corporation
147	UP state Agricultural Produce Market Board
148	National Buildings Construction Corporation
149	National Fertilizers Limited
150	National Cooperative Development Corporation
151	National Film Development Corporation of India
152	National Handicapped Finance and Development Corporation
153	National Handloom Development Corporation Limited
154	National Informatics Centre Services Incorporated
155	National Insurance Co Ltd

156	National Minorities Development and Finance Corporation
157	National Projects Construction Corporation Limited
158	National Research Development Corporation
159	National Safai Karamcharis Finance and Development Corporation
160	National Scheduled Castes Finance and Development Corporation
161	National Scheduled Tribes Finance and Development Corporation (NSTFDC)
162	National Seeds Corporation
163	National Small Industries Corporation
164	National Textile Corporation
165	Nepa
166	New India Assurance Company
167	Neyveli Lignite Corporation Limited
168	NLC Tamil Nadu Power
169	NMDC Limited
170	North Eastern Electric Power Corporation
171	North Eastern Handicrafts & Handloom Development Corporation
172	North Eastern Regional Agricultural Marketing Corporation
173	North Karanpura Transmission Company
174	Northern Coalfields
175	NTPC
176	Nuclear Power Corporation of India

177	Numaligarh Refinery Limited
178	Oil & Natural Gas Corporation
179	Oil India Limited
180	ONGC Videsh
181	ONGC Mangalore Petrochemicals Limited
182	Intustrial Development Authorities
183	Orissa Drugs & Chemicals
184	Orissa Integrated Power
185	Pawan Hans Limited
186	Pondicherry Ashok Hotel Corporation
187	Power Finance Corporation Limited
188	Power Grid Corporation of India Limited
189	Punjab Ashok Hotel Company
190	Rail Vikas Nigam
191	Railtel Corporation India
192	Rajasthan Drugs & Pharmaceuticals
193	Rajasthan Electronics and Instruments
194	Ranchi Ashok Bihar Hotel Corporation
195	Rashtriya Chemicals & Fertilizers
196	Richardson & Cruddas
197	Rites
198	Rural Electrification Corporation Limited
199	SJVN Limited
200	Scooters India Limited
201	Security Printing and Minting Corporation of India Limited
202	Sethusamudram Corporation

203	Shipping Corporation of India Limited
204	South Eastern Coalfields
205	Sponge Iron India
206	State Farms Corporation of India
207	State Trading Corporation of India
208	Steel Authority of India Limited
209	Talcher-II Transmission Company
210	Tamil Nadu Trade Promotion Organisation
211	Tehri Hydro Development Corporation
212	Telecommunications Consultants India
213	United India Insurance Company
214	Uranium Corporation of India
215	Utkal Ashok Hotel Corporation
216	Vignyan Industries
217	WAPCOS Limited
218	SJRGVS
219	Western Coalfields

### **List of Centrally Sponsored Schemes & Central Sector Schemes**

<b>S.No.</b>	<b>Name of the Department</b>
1	Green Revolution
2	White Revolution
3	Blue Revolution
4	Pradhan Mantri Krishi Sinchai Yojana
5	Pradhan Mantri Gram Sadak Yojna
6	Pradhan Mantri Awas Yojna – PMAY: Rural and PMAY: Urban
7	National Rural Drinking Water Mission
8	Swachh Bharat Mission (SBM) – SBM: Rural and SBM: Urban
9	National Health Mission (NHM)
10	National Health Protection Scheme- erstwhile RSY

11	<b>National Education Mission</b> – Sarva Shiksha Abhiyan, Rashtriya Madhyamik Shiksha Abhiyan, Teachers Training and Adult Education, Rashtriya Uchhatar Shiksha Abhiyan
12	National Programme of Mid Day Meal in Schools
13	<b>Integrated Child Development Services</b> – Anganwadi Services, National Nutrition Mission, Maternity Benefit Programme, Scheme for Adolescent Girls, Child Protection Scheme and Scheme for welfare of working children in need of care and protection, National Creche Scheme
14	Mission for Empowerment and Protection for Women
15	National Livelihood Mission (Ajeevika) – National Rural Livelihood Mission, National Urban Livelihood Mission
16	Jobs and Skill Development
17	Environment, Forestry and Wildlife
18	Urban Rejuvenation Mission: AMRUT – Atal Mission for Rejuvenation and Urban Transformation & Smart Cities Mission
19	Modernisation of Police Forces
20	Infrastructure Facilities for Judiciary
21	Border Area Development Programme
22	Shyama Prasad Mukherjee Rurban Mission
23	Bharatnet
24	MRTS and Metro Projects
25	Interest subsidy for short term credit to farmers
26	Namami Gange-National Ganga Plan
27	LPG connection to poor households
28	National AIDS and STD Control Programme
29	Member of Parliament Local Area Development Scheme
30	National Social Assistance Programme
31	Crop Insurance Scheme
32	Duty Drawback Scheme
33	Interest Equalisation Scheme
34	India Post Payments Bank
35	Price Stabilisation Fund
36	Kala Sanskriti Vikas Yojana
37	Promotion of Electronics and IT HW manufacturing (MSIPS, EDF and Manufacturing Clusters)
38	National Coastal Zone Management Programme
39	Pradhan Mantri Mudra Yojana and other Credit Guarantee Funds
40	Recapitalization of Public Sector Banks
41	Stand-Up India (through NCGTC)
42	National Mission on Food Processing (SAMPDA)
43	Family Welfare Schemes
44	Pradhan Mantri Swasthya Suraksha Yojana
45	Police Infrastructure
46	National Means cum Merit Scholarship Scheme
47	National Scheme for Incentive to Girl Child for Secondary Education

48	Interest Subsidy and contribution for Guarantee Funds
49	Scholarship for College and University Students
50	Labour Welfare Schemes
51	e-courts Phase II
52	Credit Support Programme
53	Prime Minister Employment Generation Programme (PMEGP)
54	Capacity Building- Panchayat Sashaktikaran Abhiyaan (PSA)
55	Deen Dayal Upadhyaya Gram Jyoti Yojna
56	Integrated Power Development Scheme
57	Construction of New Lines
58	Road Safety Works
59	National Fellowship for SCs
60	Assistance to Disabled Persons for Purchase/Fitting of Aids and Applicances
61	Amended Technology Upgradation Fund Scheme (ATUFS)
62	Pradhan Mantri Paridhan Rojgar Protsahan Yojna (PMPRPY)
63	Remission of State Levies (ROSL)
64	Integrated Development of Tourist Circuits around specific themes (Swadesh Darshan)
65	National Fellowship and Scholarship for Higher Education of ST Students
66	Assistance to Promotion of Sports Excellence
67	Khelo India

<b>Department List of Public Enterprises Govt. of Uttar Pradesh</b>	
<b>S.No.</b>	<b>NAME OF ENTERPRISES</b>
1	UTTAR PRADESH BHUMI SUDHAR NIGAM
2	U.P. STATE AGRO INDUSTRIAL CORPORATION LTD.
3	U.P. BEEJ VIKAS NIGAM
4	U.P. ALPSANKHYAK VITTYA & VIKAS NIGAM LTD.
5	U.P. WAQF VIKAS NIGAM LTD.
6	UTTAR PRADESH AVAS EVAM VIKAS PARISHAD
7	U.P. STATE WAREHOUSING CORPORATION
8	U.P. ELECTRONICS CORPORATION LTD.
9	U.P. DEVELOPMENT SYSTEMS CORPORATION LTD.
10	UTTAR PRADESH JAL VIDYUT NIGAM LTD.
11	U.P. POWER CORPORATION LTD.
12	UTTAR PRADESH RAJYA VIDYUT UTPADAN NIGAM LTD
13	U.P. STATE EMPLOYEES WELFARE CORPORATION
14	U.P. STATE FOOD & ESSENTIAL COMMODITITES CORPORATION LTD.
15	UTTAR PRADESH FOREST CORPORATION
16	U.P. STATE HANDLOOM CORPORATION LTD.
17	UTTAR PRADESH POLICE AWAS NIGAM LTD.
18	THE PRADESHIYA INDUSTRIAL AND INVESTMENT CORPORATION OF U.P. LTD. (P I C U P)
19	U.P. FINANCIAL CORPORATION
20	U.P. STATE INDUSTRIAL DEVELOPMENT COPORATION LTD.
21	U.P. DRUGS & PHARMACEUTICALS CO. LTD.
22	U.P. STATE SPINNING COMPANY LTD
23	U.P. PROJECTS CORPORATION LTD.
24	U.P. SMALL INDUSTRIES CORPORATION LTD.
25	UTTAR PRADESH MAHILA KALYAN NIGAM LTD.
26	UTTAR PRADESH MATSYA VIKAS NIGAM LTD.
27	UTTAR PRADESH JAL NIGAM
28	U.P. EXPORT CORPORATION LTD.
29	U.P. PICHHARA VARG VITTA & VIKAS NIGAM LTD.
30	U.P. STATE BRIDGE CORPORATION LTD.
31	UTTAR PRADESH RAJKIYA NIRMAN NIGAM LTD.
32	UTTAR PRADESH ANUSUCHIT JATI VITTA & VIKAS NIGAM LTD.
33	UTTAR PRADESH SAMAJ KALYAN NIRMAN NIGAM LTD.



34	UTTAR PRADESH POORV SAINIK KALYAN NIGAM LTD.
35	UTTAR PRADESH (MADHYA) GANNA BEEJ & VIKAS NIGM LTD.
36	UTTAR PRADESH (PASHCHIM)GANNA BEEJ & VIKAS NIGAM LTD.
37	U.P. STATE SUGAR CORPORATION LTD.
38	U.P. STATE TOURISM DEV. CORPORATION LTD.
39	U.P. STATE ROAD TRANSPORT COPORATION.
40	U.P. POWER TRANSMISSION CORPORATION LTD.
41	U.P. STATE LEATHER DEVELOPMENT & MKT. CORPN.LTD.*
42	THE INDIAN TURPENTINE & ROSIN CO.LTD.*

**List of Main Nonworking/ Closed Public Enterprises Govt. of Uttar Pradesh**

<b>S.No.</b>	<b>NAME OF ENTERPRISES</b>
1	AGRA MANDAL VIKAS NIGAM LTD.
2	ALLAHABAD MANDAL VIKAS NIGAM LTD.
3	BAREILLY MANDAL VIKAS NIGAM LTD.
4	GORAKHPUR MANDAL VIKAS NIGAM LTD.
5	LUCKNOW MANDALIYA VIKAS NIGAM LTD.
6	MEERUT MANDAL VIKAS NIGAM LTD.
7	MORADABAD MANDAL VIKAS NIGAM LTD.
8	UP BUNDELKHAND VIKAS NIGAM LTD.
9	UP POORVANCHAL VIKAS NIGAM LTD.
10	VARANASI MANDAL VIKAS NIGAM LTD.
11	UP STATE HORTICO LTD.
12	UP STATE CEMENT CORPORATION LTD.(Under Liquidation).
13	UP STATE MINERAL DEV.CORPORATION LTD.
14	UP STATE TEXTILE CORPORATION LTD.
15	UP STATE BRASSWARE CORPORATION LTD.
16	UP PANCHAYATI RAJ VITT & VIKAS NIGAM LTD.
17	UP PASHUDHAN UDYOG NIGAM LTD.
18	UP POULTRY & LIVESTOCK SPECIALITIES LTD.

19	TARAI ANU. JANJATI VIKAS NIGAM LTD.
20	UP (POORV) GANNA BEEJ & VI.NI.LTD.
21	UP (ROHILKHAND-TARAI)GANNA BEEJ & VI. NI.LTD.
22	UP CHALCHITRA NIGAM LTD.
23	AUTO TRACTORS LTD. (Under Liquidation).