

CHECKLIST FOR EMPANELMENT

CHARTERED ACCOUNTANT (CA) / COST ACCOUNTANT

Checklist No.	Checklist Item	Mandatory Requirements
1.	CO Recommendation	Circle Office Recommendation letter in the prescribed format Annexure-2 (refer HO Cir. No. 370/2020.)
2.	Application ID	Unique Application ID number generated through SAS package (Data Management Portal) to be mentioned in Annexure-2.
3.	IBA TPE Caution	Circle Office confirmation in Annexure-2 on verification of the Auditor/Firm name with latest IBA Caution List of TPEs available in CANNET.
4.	Application	Empanelment Application in the prescribed format Annexure-1 (refer HO Cir. No. 370/2020.)
5.	KYC	KYC/Certificates of Individual /Firm /All partners self-attested and duly verified with originals by CO/Branch official with Seal & Sign.
6.	ICAI Firm RC	Latest Firm Constitution/Registration Certificate issued by ICAI /ICWA not older than 3 months from the date of submission of application.
7.	ICAI Membership	Certificate of Membership of Individual/All Partners issued by ICAI.
8.	ICAI Practice	Certificate of Practice of Individual/All Partners issued by ICAI.
9.	Declaration	Declaration from the individual/firm (on letterhead) that they are not a Statutory Auditor/Income Auditor/Concurrent Auditor/Internal Auditors of our Bank as on date and will not undertake such assignments till they remain stock auditor in our Bank. Circle Office to verify and confirm on the same.
10.	Empanelment proof	Proof of Empanelment with Banks/FIs (Including Initial letter of empanelment, subsequent renewals till date issued by Banks.)
11.	GSTIN	GST Registration Certificate or Self-Declaration if GST not applicable (Note: for Firms on letterhead.)
12.	Individual KYC	PAN and Aadhaar /Passport /Voter ID /etc.
13.	Proprietorship KYC	If Proprietorship Firm, copy of GSTIN/ Trade Licence /etc.
14.	Partnership/LLP KYC	If Partnership/LLP Firm, copy of Partnership/LLP Deed, Firm/LLP PAN and GSTIN.

All the KYC/Supporting documents along with Empanelment Application submitted must be self-attested by Individual/Proprietor/Managing Partner/Partner's/Authorised Signatory as the case maybe and duly Verified with Originals by CO/RO/Branch without fail.

Circle Office shall also carry out due diligence on their part before recommending the Auditor for empanelment.

Officer

Manager/Senior Manager

Date:

Place: