

ANNEXURE II

REPLIES TO PRE BID QUERIES AND AMENDMENTS TO EOJ Ref No: IB:CO:INSP:ISAC: 3 / 2019-20 - Empanelment of information system auditors			
Si.No	Ref	RFP Clause	Bidder's Query
1	Page 6 Cert- In ELIGIBILITY CRITERIA	ELIGIBILITY CRITERIA: Only Companies/LLPs/Firms with CERT-In Certification are required to apply. The validity of the certificate should be atleast six months from the date of empanelment. On expiry of the validity during the three year period, the renewal certificate should be submitted within 15 days from the date of expiry to ensure continuation of the empanelment. If the audit organization becomes CERT-In certified subsequently, they may apply for empanelment however, subject to fulfilment of the other eligibility criteria. Their empanelment would be co-terminus with the overall panel-validity of three years set initially at the time of formation of the panel.	a)Our Cert-In Empanelment is valid till 30-Nov-2019. Since we can apply for fresh empanelment only after Nov 2019, we request the bank to waive the clause requiring six months validity from date of empanelment and only require Cert-In empanelment validity on date of empanelment. b)At present, all auditing organizations empanelment with CERT-In is valid upto 30th November 2019. Hence, we request you to modify the clause accordingly c)The cert-in certificated is getting expired on September and will renewed subsequently
2	Page 7 Turnover Criteria	The applicant should have minimum annual turnover of Rs. 2 crores per year for the last three financial years of which atleast 25% shall be from IS audit. - Certificate from the Chartered Accountant with break-up of earnings from IS audit	We request the bank to kindly reduce the qualifying criteria to 1.5 Crores per year. In the alternative, the bank may specify a turnover criteria for IS Audit without regard to overall turnover criteria.
3	Page 4 Indicative scope	The above is an indicative scope only and may vary from assignment to assignment as per requirement of the bank.	Requesting you to please share the scope of audit and list of devices to be audited.
4	Page 11 Instructions to Applicants clause 5	Applicants wanting to participate in the empanelment process should apply within the specified date/time along with the documents called for along with a Demand Draft (DD) for Rs. 5,000/- (Rupees Five Thousand Only - non-refundable) in favour of Indian Bank payable at Chennai. EOJ application submitted without the Demand Draft shall not be considered.	a)The RFP document contain EOJ Document cost. I request you to please waive off EOJ Document cost and allow us to submit the proposal in response to this RFP. b)As per MSME Act, an MSE is exempt from paying Tender Fee / EMD. Request you to consider the same and waive EOJ Document fee for MSE
		Bank's Response	Clause is modified.
		Revised Clause	ELIGIBILITY CRITERIA: Only Companies/LLPs/Firms with CERT-In Certification are required to apply. On expiry of the validity during the three year period, the renewal certificate (or extension certificate / any other documentary evidence to prove the extension of validity of the certificate) should be submitted within 1 month from the date of expiry to ensure continuation of the empanelment. In other words, at any point of time during the period of empanelment, the audit organisation should have valid Cert-In certificate or confirmation of extension. If the audit organization becomes CERT-In certified subsequently, they may apply for empanelment however, subject to fulfilment of the other eligibility criteria. Their empanelment would be co-terminus with the overall panel-validity of three years set initially at the time of formation of the panel.
			The applicant should have minimum annual turnover of Rs. 1 crore from Information Security audit activities in each of the last three financial years - Documentary evidence to be submitted by way of Certificate from the Chartered Accountant with break-up of earnings in the last three years
			No change
			<u>ADDITION UNDER CLAUSE 5:</u> in line with extant Government guidelines, Micro and Small Enterprises are exempted from payment of cost of EOJ document subject to submission of documentary proof for having registered with any of bodies specified by Ministry of Micro, Small and Medium Enterprises.



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5	Page 4 - BROAD AREAS FOR IS/ITAUDIT	Bank intends to have an Empanelment of Information Technology / Cyber Security Service Providers (ITCSPs) for providing various consultancy, services and activities related to Information Technology/Cyber Security Services, Forensic Audit, Information Systems Audit and Secure Coding Practices & standards for the Bank.	We are specialized in Forensic Audit and Specialised Monetering Audit, While going through your tender documents details it is observed that this tender requires specifically people and for IS Audit. So are we looking for Digital Forensic Auditor or even the Forensic Auditor. As the eligibility criteria speaks about IS Audit and the tender brief speaks about Forensic Auditor empanelment as well. Hence we required your guidance on the same.	EOJ is for empanelment only and is primarily intended for IS audit related assignments, which will be taken up through bidding process. However, as and when required by the Bank, the assignments may include post incident analysis like log analysis and adherence of processes relating to best practices and prevailing Laws.	No change



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6	Page Eligibility criteria clause 7 and 9	8 <p>CLAUSE 7-in the last two years as on 30.06.2019, the Applicant must have successfully conducted minimum five IT General Security control audit / application functionality and Process audit, Penetration Testing and Vulnerability Assessment of web applications, in any organization of which atleast two of them are Scheduled Commercial Banks having minimum of 500 branches each (both public and private). These assignments should be exclusive of assignments handled as part of ICT in</p> <p>CLAUSE 9- In the last three years as on 30.06.2019, the Applicant must have carried out Minimum three comprehensive Security Review and Information Systems Audit and of the entire ICT of the organization including Data Centre, DR site, Enterprise Network, ATM switch, Net-banking, mobile banking, SWIFT etc. in any organization of which atleast two of them are Scheduled Commercial Banks having minimum of 500 branches each (both public and private).</p>	<p>we want to understand if there is a waiver in eligibility criteria of serving at least 2 co-operative banks with 500 branches each (point 7 and 9), as most of the Cert-in companies will not fit in these criteria.</p>	<p>Clause is modified.</p>	<p>CLAUSE 7-In the last two years as on 30.06.2019, the Applicant must have successfully conducted minimum five IT General Security control audit / application functionality and Process audit, Penetration Testing and Vulnerability Assessment of web applications, in any organization of which atleast two of them are Scheduled Commercial Banks having minimum of 200 branches each (both public and private). These assignments should be exclusive of assignments handled as part of ICT in point 9 of Eligibility Criteria</p> <p>CLAUSE 9- In the last three years as on 30.06.2019, the Applicant must have carried out Minimum three comprehensive Security Review and Information Systems Audit and of the entire ICT of the organization including Data Centre, DR site, Enterprise Network, ATM switch, Net-banking, mobile banking, SWIFT etc. in any organization of which atleast two of them are Scheduled Commercial Banks having minimum of 200 branches each (both public and private).</p>
7	Page No.4 Indicative Scope	Incident / Forensic Analysis Cyber law Consultancy / audit	<p>It was specified that cyber law consultancy and forensic analysis as mentioned anywhere else in the EOI. Kindly confirm if our scope of work is limited to only providing information System audit services as we will not be providing any direct or indirect legal services or such related services.</p>	<p>EOI is for empanelment only and is primarily intended for IS audit related assignments, which will be taken up through bidding process. However, as and when required by the Bank, the information assignments may include post incident analysis like log analysis and adherence of processes relating to best practices and prevailing Laws.</p>	<p>No change</p>



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8	Page No. 7 Eligibility Criteria #4	The applicant should have minimum annual turnover of Rs. 2 crores per year for the last three financial years of which at least 25% shall be from IS audit.	We are partnership firm offering different service including IS audit, Information Security review as a part of our engagements with multiple clients apart from multiple other services such as analytics, third party risk assessments, ethical hacking and others. It is highly challenging for us to get engagement level revenues from a CA. Requesting Bank to kindly revisit this eligibility criteria as we are already providing relevant IS audit experiences as per the EOI	Documentary evidence for Revenue from IS audit to be provided as required in the tender document.	No change
9	Page No.8 Eligibility Criteria #7	In the last two years as on 30.06.2019, the Applicant must have successfully conducted minimum five IT General Security control audit / application functionality and Process audit, Penetration Testing and Vulnerability Assessment of web applications, in any organization of which at least two of them are Scheduled Commercial Banks having minimum of 500 branches each (both public and private).	Kindly confirm whether the bidder should provide five POs for IT General Security control audit/application functionality and five POs for VAPT or the bidder should enclose five POs covering for any of these services.	Bidder should provide minimum five POs covering any of these services	No change
10	Page No.9 Eligibility Criteria #8	In the last two years as on 30.06.2019, the Applicant should have conducted minimum three IT General Security control audit / application functionality and Process audit, Penetration Testing and Vulnerability Assessment of Mobile Banking Applications/ payment systems through mobile applications of Scheduled Commercial Banks.	Kindly confirm whether the bidder should provide three POs for IT General Security control audit/application functionality and another three POs for Penetration testing and Vulnerability assessment or the bidder should provide three POs for any of these services.	Bidder should provide minimum three POs covering any of these services relating to Mobile Banking Applications/ payment systems through mobile applications .	No change
11	Page No.9 Eligibility Criteria #9	In the last three years as on 30.06.2019, the Applicant must have carried out Minimum three comprehensive Security Review and Information Systems Audit and of the entire ICT of the organization including Data Centre, DR site, Enterprise Network, ATM switch, Net banking, mobile banking, SWIFT etc. in any organization of which at least two of them are Scheduled Commercial Banks having minimum of 500 branches each (both public and private).	Kindly confirm whether the bidder should provide three POs for IS audit and three POs for comprehensive security review or the bidder should provide three POs for any of these services.	Bidder should provide minimum three POs covering comprehensive ICT audit of the organisation.	No change



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12	Page No.10 Eligibility Criteria #12	Applicant or their subsidiaries/ sister concerns >> whose Partner/Director is a member of the Board >>who have undertaken statutory audit of the Bank presently or in the last one year as on 31.03.2019 shall not be eligible to participate in the EOJ	Kindly suggest whether the "Director" refers to Board of Directors or Directors of the company and Directors by designation or both and whether the "Partners" refers to partners or partners by designation or both. Word 'Director' and 'Partner' is used in multiple clauses across EOJ, kindly confirm if the clarification is applicable to all the places wherever they are referred.	Directors refer to Directors in the Board of the company and Directors by designation if having any voting rights and Partners refer to stakeholders/Partners as per Partnership/LLP deed. This clarification applies to all places wherever similar terms are referred in the tender document.	No change
13	Page No. 13 DOC-I	Audited Financial Statements for the last three financial years of the organization.	Financial statement of FY 2018-2019 is still under audit, so we would not be able to provide financials for FY 2018-19 including provisional financial statement. However, we would be able to furnish financials for FY 2015-16, FY 2016-17, FY 2017-18. Kindly confirm.	The latest available Audited Financial statements to be submitted for 3 years (FY 2015-16, FY 2016-17, FY 2017-18). For FY 2018-19, provisional financial statements can be submitted. However, if the provisional results of 2018-19 are to be considered for meeting the eligibility criteria, CA certificate to be submitted in respect of points 3, 4 and 5 of Eligibility criteria.	No change
14	page 5 Indicative Deliverables Cl. No. (d)	Compliance audit of servers, web applications and source code is to be conducted along with remediation until full remediation which may involve multiple iterations	There has to be limit on the number of multiple iterations that needs to be conducted. It cannot be infinite, which would ultimately increase the cost tremendously. Hence, we request you to put a limit to the multiple iterations required which should normally not exceed 2	The scope of audit and deliverables are covered in the tender documents are indicative only and will vary from assignment to assignment as per the requirement of the bank and will be communicated while calling for commercial bids.	No change
15	Page 16 Clause18	Performance Bank Guarantee - The empanelled audit organizations who are entrusted with any assignment will be required to submit performance guarantee depending on the requirement of the Bank.	We understand that the PBG amount would not exceed 10% of the contract value. Kindly confirm	The requirements relating to Performance Bank Guarantee may vary from assignment to assignment as per the requirement of the bank and will be communicated while calling for commercial bids.	No change



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16	Page 2 and Page 11	a. Deadline for Proposal submission is 15:00 Hours. The Proposal document along with required enclosures should be submitted at the address mentioned below either in person or it can be sent by post but it should reach the concerned officer on or before 03:00 P.M. on 20/08/2019.	There are holidays and long weekend next week. We would require atleast 10 working days to submit the bid after once we receive the clarification from bank.	Due date is extended by 7 working days.	a. Deadline for Proposal submission is 30/08/2019 time 15:00 Hours. The Proposal document along with required enclosures should be submitted at the address mentioned below either in person or it can be sent by post but it should reach the concerned officer on or before 03:00 P.M. on 30/08/2019.
17	page 7	5. Net Profit Clause	Kindly request you to consider net profit for at least 2 years from financial year 2015-19	RFP terms continue	No change
18	page 7	3. Net worth Clause	Kindly request you to consider net worth for at least 2 years from financial year 2015-19	RFP terms continue	No change
19	page 7	4. IS audit Turnover	Kindly request you consider 10% business from IS audit	RFP terms continue	No change
20	page 8	Clause 7	Kindly request you consider 2 reference IS Audit in last 2years	RFP terms continue	No change
21	page 9	Clause 7	Kindly request you to consider total security audit	RFP terms continue	No change
22	---	termination right to be added for the bidder;	Bidder/Service Provider may terminate this Agreement and / or any SOW upon written notice to the Bank if the Bank commits a default or material breach and does not remedy the default or material breach within 30 days of notice from the Bidder/Service Provider.	Already covered in the RFP in page 23 para 12.1	No change
23	Page 17 clause 24	1. The empanelled audit organizations shall undertake to submit their annual audited balance sheet to the Bank during the validity of the empanelment.	---	time for submission of ABS mentioned	1. The empanelled audit organizations shall undertake to submit their annual audited balance sheet, immediately after its finalisation, to the Bank during the validity of the empanelment.



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24	Page 15 and clause 11	11. This EOJ is for empanelment only; Empanelment does not confer any rights on the audit organizations to be invited to participate further in the Bank's RFP process and receive assignments/jobs. The actual job allocation will be a dynamic from time to time, based on a bidding process among eligible empanelled audit organizations.	—	content repeated in clause 14	11. This EOJ is for empanelment only; Empanelment does not confer any rights on the audit organizations to be invited to participate further in the Bank's RFP process and receive assignments/jobs.

