

Notice inviting bids from Audit Organizations for conducting Information System Security Audit of Bank's ICT Infrastructure
(RFP No CO:INSP:ISA:5 /2019-20 dated 13/03/2020)

Bidders' Queries and Responses

SL	Page No	Clause No	Clause Reference	Existing Clause	Bidders' query	Bank's response
1	22	3.5	Pre-bid Meeting	A pre-bid meeting will be conducted and date and venue for the same will be ported in the Bank's website. The purpose of the pre-bid meeting will be to clarify the doubts of the bidders, if any.	Pre bid meeting date? Request to kindly intimate the same to the email id.	Considering the prevailing situation of lockdown, date of pre-bid meeting will be informed later.
2	25	3.14	Bid Submission	Bids duly sealed should be delivered before 15.00 hours on or before 09/04/2020. Bids may be sent by registered post or hand delivered so as to be received at the following address:	<ol style="list-style-type: none"> 1. Is the date of submission for this RFP extended? 2. As the entire country is facing the coronavirus pandemic and offline mode of submission will not be possible as offices are closed, so is there an online portal for submission of the documents? 3. The courier services are at a halt due to lockdown. Kindly let us know if there is an extension on the last day of the proposal submission or if we can send the proposal documents (password-protected) via email. 	Considering the prevailing situation of lockdown, Due date for submission is deferred and the same will be intimated later.



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3	3, 23 and 24	--	Schedule of event and bid details	Exemption from cost of RFP Document ₹ 5,000/- Bid Security (Earnest Money Deposit) ₹ 2,00,000/- by way of Guarantee	As per MSME clause, an organisation is exempted from paying RFP Document and EMD cost.	In line with extant Government guidelines, Micro and Small Enterprises are exempted from Bid Security (Earnest Money Deposit) subject to submission of documentary proof for having registered with any of bodies specified by Ministry of Micro, Small and Medium Enterprises. Documentary proof for having registered with any of bodies specified by Ministry of Micro, Small and Medium Enterprises, GoI is to be submitted along with Tender Documents, in lieu of Tender fee and Bid Security.
4	43	Para 5	SI no 4 under Eligibility Criteria	The applicant should have minimum annual turnover of Rs. 1 crore from Information Security audit activities in each of the last three financial years.	We are a MSME organization kindly check the possibility if it can be relaxed.	RFP terms to continue
5	43	Para 5	SI no 6 under Eligibility Criteria	In the last three years as on 31.12.2019, the Applicant must have carried out minimum three audit assignments covering the scope of work of the respective VERTICAL for which the bid is submitted, of	1) Relaxation with regards to number of branches and if Co-operative Bank experience will be eligible. 2) Can we consider BFSI engagements? 3) Can we consider engagements running as on 31/12/19 or engagement till March -2020?	1) RFP terms to continue 2) BFSI engagements will be considered as per the terms of RFP. 3) Only completed engagements will be considered and date of completion is to be declared in Doc L.



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6	14, 29, 34 & 36			<p>which atleast two assignments pertain to Scheduled Commercial Banks having minimum of 200 branches each.</p> <p>Format Prescribed.</p>	4) Can we consider engagement done under name of sister group company ?	4) Engagements done under the name of sister/group companies will not be considered.
			<p>Bid security (DOC D)</p> <p>Non-Disclosure Agreement Indemnification</p>		Request for relaxation of some clauses.	<p>RFP Terms to continue and Contract/NDA to be executed as per the format approved by Bank's Legal Department.</p> <p>For retention of documents, if any, by IS Auditors for legal and professional regulatory purposes, prior approval of Bank is to be obtained and the same will be subject to NDA clauses.</p>
7	7	Para 2.2	Audit Period	<p>The proposed I S audit assignments will be for a period of two years. Award of IS Audit assignment will be initially for a period of one year. On satisfactory performance and completion of first year assignment, the same may be extended for another one year.</p>	Clarification on Duration of the Engagement	<p>RFP has been floated for 2 years and commercial evaluation will be for a period of 2 years. However, as per RFP terms, the Work Order will be issued initially for a period one year and will be renewed, at the discretion of the Bank, for another one year.</p>



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8	7 and 8	2.3	Scope of Audit :	Vertical -I Annual Audit Vertical -II VAPT	No. of offices / Third Party Service Providers / applications / devices for both the Verticals and location of audit	Indicative Count of IT setups of the merged entity, third party service providers, applications, servers, etc. is furnished in Annexure II of RFP document. It has to be noted that the same are indicative and actual count may vary later on. Details and other specifications will be provided at the time of commencement of audit. Audit has to be carried out in Chennai, Mumbai, Kolkata, or any other location where IT setup of the Bank or third party service provider is located. IS Auditors are expected to carry out assignments in the Bank's premises in normal course. However, provision of remote access will be considered, wherever possible in specific cases, at the sole discretion of the Bank subject to IS Security Guidelines and approvals.
9	7	2.3	Scope of Audit :	Vertical -I Annual Audit	Clarification on ➤ mandays mentioned under Vertical I	Additional 50 mandays as mentioned in the para 2.3 under Vertical I, is part of Annual Audit-A.1 (Fixed Contract price) and the same will be utilised by the Bank in one or more shots as per the requirement of the Bank depending on the assignments entrusted. These 50 mandays will be either ➤ fully utilised in the first year or ➤ fully or partially carried over to the second year, depending on the requirement of the Bank.



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10	8	2.3 (C)	Scope of Audit Vertical I Annual Audit	Source code review of 10 applications as per secure coding practices and as per the requirement of regulatory bodies like RBI CSITE, NPCI, UIDAI, etc.	<p>1) No. of applications mentioned for source code review in para 2.3 is 10, however in Commercial bid format its mentioned as 50 (25+25)</p> <p>2) Whether bank has any licensed tool for conducting source code review?</p>	<p>1) Source Code Review of 10 applications, as indicated by the Bank, has to be carried out as part of Annual Audit-A.1 (Fixed Contract price). In addition to the above, bidders are advised to quote rate for B.1 and B.2 for taking up Source Code Review assignments as and when entrusted by the Bank on adhoc basis (Rate contract) for which payment will be based on actual work done.</p> <p>2) Presently, Bank is not having any licensed tools for source code review. IS Auditors will be required to use only licensed tools, with prior permission of the Bank, as detailed in the RFP document.</p>
11	9	2.3	Scope of Audit Vertical III – Concurrent Audit Para 1	Mention of – “The above list if not exhaustive and the scope of CC audit will cover all IT related activities of ...”	The mention of “All” and “not exhaustive” words of inclusion without details may become counter productive (accounting extra buffer in commercials/ efforts etc.)	The scope of concurrent audit shall cover on monthly basis - all the IT related activities of three Departments of the Bank, viz., CO:ITD including DC and NDR site, CO:DBD, CO:ISSD and on yearly basis –all activities of DR site.



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12	84	Doc P	Commerical Bid Format Vertical II VAPT	Conduct of VAPT	Is the scope IP's based VAPT or URL based Grey box or black box testing.	<p>1. For conducting VAPT for Regular Assignments on Half yearly / Quarterly basis (Part A) - IS Auditors need to conduct only Grey Box testing for both public facing applications and for non-public facing applications.</p> <p>2. For conducting VAPT for adhoc assignments as and when entrusted by the Bank (Part B) - IS Auditors need to conduct both Grey Box and White Box testing for public facing as well as non-public facing applications. In white box testing, auditors will be provided with Admin and Non-Admin credentials in a test environment to test the internal controls of the applications.</p> <p>3. Mobile applications are both iOS based and Android based.</p>
13	82-85	Doc P	Format of Commercial Bid	Commercial Bids for each of the vertical is split into two parts, A & B.	Count, details and specifications	<p>The Commercial Bid format and its evaluation is explained hereunder :</p> <p>1. Commercial Bids for each of the vertical is split into two parts, A & B, as under Vertical I – A.1 & B.1 to B.3 Vertical II– A.1 to A.2 & B.1 to B.4 Vertical III – A.1 & B.1</p> <p>2. Part A for each Vertical is towards Fixed Contract assignments, for which indicative count is furnished in Annexure II of the RFP document. Part B for each Vertical is for carrying out adhoc assignments, which will be entrusted by the Bank, as and when required. Specific scope of audit for each assignment will be communicated along with details and other specifications as and when the work is entrusted.</p>



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						<p>3. In respect of assignments under Part A, frequency of audit is fixed as per the terms of RFP, whereas assignments under Part B will be entrusted as and when required by the Bank, either in test environment or production environment.</p> <p>4. Commercial Bid has to be submitted strictly as per the format given in RFP duly specifying the amount per instance :</p> <ul style="list-style-type: none"> • In respect of Part A, instance means the frequency fixed in the RFP. • In respect of Part B, instance means per assignment or per manday, as the case may be <p>5. Commercial evaluation will be based on Total cost for each vertical mentioned in Column (C), which will include cost for</p> <ol style="list-style-type: none"> i. Part A - fixed contract price quoted by the bidders ii. Part B - calculated by multiplication of Rate quoted per assignment or manday by approximate no. of assignments or mandays indicated in the RFP. <p>6. Though evaluation will be carried out on as above,</p> <ul style="list-style-type: none"> • In respect of Part A, work has to be carried out as per the periodicity mentioned in the RFP for which indicative count of servers, applications, etc. is given under Annexure II. It is to be noted that the same is only indicative and the actual count may vary.



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						<ul style="list-style-type: none"> • In respect of Part B, adhoc assignments will be entrusted, as and when required by the Bank, on Rate Contract basis. Approx. count of such instances is furnished in the Commercial Bid format only for Bid Evaluation purposes and the actual may vary. <p>7. In line with the above,</p> <ul style="list-style-type: none"> • In respect of Part A, payment will be made as per Para 7 of RFP and • In respect of Part B, payment will be made for the actual work done, which may be more or less than the approximate no. indicated in the RFP.

