



**Saptagiri Grameena Bank**  
(Public Sector RRB : Sponsored by Indian Bank)

**సప్తగిరి గ్రామీణ బ్యాంక్**  
(ప్రభుత్వ రంగ సంస్థ : ఇండియన్ బ్యాంక్ ప్రయోజనం)

**सप्तगिरि ग्रामीण बैंक**  
(सार्वजनिक क्षेत्र आरआरबी : इंडियन बैंक द्वारा प्रायोजित)

**REQUEST FOR PROPOSAL**

**FOR**

**INFORMATION SYSTEMS AUDIT**

**OF**

**CORE BANKING / NET BANKING / MOBILE BANKING / DATA CENTRE / D R SITE /  
NETWORKING INFRASTRUCTURE AND OTHER INTEGRATED SYSTEMS**

**Of**

**Saptagiri Grameena Bank,  
Tamilnadu Grama Bank &  
Puduvai Bharatiar Grama Bank**

**RFP No: HO/ITD/1010/2021**

**Date: 09.06.2021**



**Head office : P.B. No.17, Chittoor - 517 001, Phones : 233598, 232535, Fax : 08572 - 229822  
Email : svgbhctr@yahoo.co.in, Website :www.saptagirigrameenabank.in**



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### SCHEDULE OF EVENTS AND BID DETAILS

The following is an indicative timeframe for the overall selection process. Bank reserves the right to vary this timeframe at its absolute and sole discretion, should the need arise. Changes to the timeframe will be communicated through mail

RFP Reference	HO/ITD/1010/2021
Date of RFP	09.06.2021
Last Date for submitting the queries (Only through mail)	15.06.2021; 17.00 Hrs
Date of pre-response (pre-bid) meeting	Date /Time & Venue will be intimated through Mail
Last date and Time for submitting bids	18.06.2021; 15.00 Hrs
Date and Time of opening of bid responses	18.06.2021; 15.30 Hrs
Place of Opening RFP responses	Saptagiri Grameena Bank, Head Office PB NO: 17, Hotel Durga Complex, Naidu Buildings, Chittoor, Andhra Pradesh - 517001
Cost of RFP document	Rs 5,000/- ( Rupees Five Thousand only) The cost is Non-refundable.
Bid Security Guarantee	Rs. 1,00,000/- by way of Bank Guarantee ( Rupees One lakh only)
Address for communication and submission of responses	The Chairman Head Office, Saptagiri Grameena Bank, PB NO: 17, Hotel Durga Complex, Naidu Buildings, Chittoor, Andhra Pradesh - 517001
Contact No	8886644004/005/006
Email	edp@sgbank.in

In case scheduled dates fall on a public holiday, the same will be extended to the next working day.

All dates mentioned above are tentative dates and the bidder acknowledges that it cannot hold the Bank responsible for breach of any the dates.

Non - attendance at the pre-bid meeting or bid opening will not be a cause for disqualification of a bidder.



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## Section I INTRODUCTION

Saptagiri Grameena Bank, a Regional Rural Bank, having its Head Office at Chittoor, Andhra Pradesh and Operating in Chittoor and Krishna Districts of Andhra Pradesh with 225 branches and is having a business of Over Rs 15400 Crores.

Tamil Nadu Grama Bank, a Regional Rural Bank, having its Head Office at Dno: 06, Yercaud Road, Hasthampathy, Salem, Tamil Nadu Operating in 15 districts of Tamil Nadu with 640 branches and is having a business of over Rs 30500 Crores.

Puduvai Bharatiar Grama Bank, a Regional Rural Bank, having its Head Office at 441, M.G. Road, Muthaipet, Puducherry - 605003 and operating in union Territory of Puducherry with 44 branches and a business of over Rs 1800 Crores.

### PURPOSE

This RFP seeks to engage an Information Systems Audit Firm, which has the capability and experience to conduct a comprehensive Information Systems Audit of Bank's critical IT infrastructure and IT Governance.

Bank seeks to have an external examination of the IT security to ward off risks in the IT Domain and to appraise the findings there of to the Management.

- To determine the effectiveness of planning and oversight of IT Activities
- Evaluating adequacy of operating processes and internal controls
- Determine adequacy of enterprise-wide compliance efforts relating to IT Policies and Internal Control Procedures.
- Identifying areas with deficient Internal Controls and recommend corrective action to address deficiencies.

### INVITATION FOR BIDS (IFB)

Saptagiri Grameena Bank, the subsidiary of Indian Bank, on behalf of 3 Regional Rural Banks sponsored by Indian Bank i.e., Saptagiri Grameena Bank, Tamil Nadu Grama Bank and Puduvai Bharatiar Grama Bank is having common infrastructure at DC site located at Chennai, and DR site located at Hyderabad that are being used for hosting Core Banking Solution and other critical/non-critical applications.

Saptagiri Grameena Bank (SGB) invites sealed quotations for and on behalf of all the three RRBs, from all eligible bidders to conduct Information system audit of their CBS, Internet and Mobile Banking applications, Data Center, Disaster Recovery Site, Network and its related infrastructure. Part-I of the bid document will consist of technical and other details and should be submitted manually and Part II will be a sealed bid for commercials



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The address for communication is:

**Saptagiri Grameena Bank,**

**PB No: 17,**

**Hotel Durga Complex,**

**Naidu Buildings,**

**Chittoor - 517001**

**Contact Number : 08572-227992**

**Mobile Number : 8886644004/005/006**

**Email: edp@sgbank.in**

Further information can be had from the bank at the address given above from 10.00 to 17.00 hours on all days from Monday to Saturday except 2nd & 4th Saturday and holidays

Bids must be delivered to the address given above, on or before 15.00 Hours on 18.06.2021 and must be accompanied by a Bid Security of INR 1,00,000/- (Rupees One lakh only) and a bid fee of INR 5,000/- as Demand Draft in favour of **Saptagiri Grameena Bank payable at Chittoor** for (non-refundable). Bid submitted without the Bid Fee and Bid Security will not be considered.

Late Bids will be rejected. **Part I (Technical Bid) will be opened** for evaluation by the Bank **at 15.30 Hours on 18.06.2021** in the presence of the bidders. All bidders may send their representatives to attend the bid opening process.

Part II (Commercial Bid) shall be provided in a separate sealed cover as per the format specified.

Please note that

- i. The costs of preparing the proposal including visit / visits to the Bank are not reimbursable.
- ii. The Bank is not bound to accept any of the proposals submitted and the bank has got the right to reject any proposal/annul the tendering process without assigning any reason thereof.
- iii. The Bank can extend the last date for submission of bid.
- iv. Part I should not contain any pricing and commercial information.

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## Section - II Instructions to Bidders

### 1 - Qualified professionals to be deployed for the job

The entire Security Audit work has to be got done by qualified CISA/CISSP/ISO 27001 Lead Auditor/Professionals having requisite expertise in Information Security Audit. The Information Security Audit should be completed within the mutually agreed time schedule. Franchise of Information System Auditors will not be permitted under any circumstances.

### 2 - Audit Coverage Period

The proposed Annual IS audit 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 on the same terms and conditions.

### 3- BID FEE

The bidder shall submit the bid along with a Demand Draft in favour of Saptagiri Grameena Bank payable at Chittoor for Rs.5,000/- (Rupees Five Thousand only) (non-refundable) as bid fees. Bid submitted without the DD will not be considered.

### 4 - AMENDMENT OF BIDDING DOCUMENTS

4.1 At any time prior to the deadline for submission of bids, the Bank, for any reason, whether at its own initiative or in response to a clarification requested by a prospective Bidder, may modify the Bidding Documents by amendment(s).

4.2 The Amendment(s) if any will be communicated through mail and it will be binding on all the bidders. Signed copy of the amended document should form part of the Technical Bid.

### 5- TWO BID SYSTEM

Sealed Envelopes Containing Technical Proposal (Technical Bid) should be clearly superscribed as "**Information Systems Audit of RRBs**". All the documents constituting the Technical Bid should be submitted in **hard copy and softcopy except commercial Bid. No commercial information should be available in the Technical Bid.** The Technical Bid should be submitted at the address given below.

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Hotel Durga Complex,  
Naidu Buildings,  
Chittoor - 517001  
Contact Number : 08572-227992  
Email: edp@sgbank.in



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The envelope shall bear the project name and a statement: "**DO NOT OPEN BEFORE 18.06.2021**", to be completed with the time and the date specified below.

**Formation of Technical Bid :**

- I. Language of communication will be English.
- II. Bidder's Information as per format. (section V-Bid Format)
- III. Non-refundable fee of Rs. 5,000/- in the form of a demand draft issued by a scheduled commercial bank favoring Indian Bank.
- IV. Acceptance of the terms and conditions as contained in this document.
- V. Supporting documents in respect of proof of Information Security Audit for Internet Banking /Core Banking Services issued by the Head of the I T Department of the Bank
- VI. Total turnover with break-up towards IS Audit.
- VII. Resume of the qualified professionals on the rolls of the company who will be involved in the audit of our banks.
- VIII. Bid security for Rs.1,00,000/- (Rupees One lakh only) in the form of Bank Guarantee valid for 120 days from the last date for submission of Tender
- IX. Power of Attorney given in favour of the person signing the document on behalf of the firm
- X. Articles of Association, Memorandum of Association of the company.
- XI. Audited balance sheets for the last three years.

**Formation of Commercial Bid**

- I. After technical evaluation, commercial bids of only the eligible Bidders will be opened and the date and time of commercial bid opening will be communicated to the bidders.
- II. Bidders can send their representative for opening of commercial bids.
- III. The prices should be quoted in Indian Rupees only.
- IV. Applicable TDS will be deducted from the payment.
- V. Bank will not pay any other charges including travelling charges / visit charges / hotel stay for any travelling/ training undertaken by the Bidder's staff / personnel throughout the project.
- VI. The price should be firm and not dependent on any variable factors.
- VII. The commercial quote should be provided for each RRB separately exclusive of taxes for each year.
- VIII. No price variation will be accepted for increases in customs/excise duty, other taxes, and foreign exchange rate variation or for any other reasons.
- IX. The financial proposal should list all the costs associated with the Assignment.



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## 6- BID SECURITY (EARNEST MONEY DEPOSIT)

6.1 The bidder shall furnish, as part of their bid, a bid security in the form of a bank guarantee issued by a scheduled commercial bank or foreign bank located in India, in the form provided

in the bidding documents for a sum of Rs. 1,00,000/- (Rupees One lakh only) and valid for One Hundred and twenty days (120) days after the last date of submission of the bid i.e. Bid validity 90 days + 30 days = 120 days from the last date for submission of bid). Bank may seek extension of Bank Guarantee, if required.

6.2 Unsuccessful bidders' bid security will be discharged or returned after the expiration of the period of bid validity prescribed by the bank.

6.3 The successful bidder's bid security will be discharged upon the bidders signing the contract and furnishing the performance security.

6.4 The bidder will forfeit the bid security,

- a. If a bidder withdraws its bid during the period of bid validity specified by the bidder on the bid form. OR
- b. in the case of a successful bidder, if the bidder fails to sign the contract or to furnish performance security.

## 7- PERIOD OF VALIDITY OF BIDS

Bids shall remain valid for the period of 90 days after the last date for submission of technical bid prescribed. A bid valid for a shorter period shall be rejected by the bank as non-responsive. Bids must clearly state the validity of the bid and its explicit expiration date. Bank may seek the extension of bid validity, if required.

## 8- AUTHORIZATION TO BID

Responses submitted by a Bidder to this RFP (including response to functional and technical requirements) represent a firm offer to contract on the terms and conditions described in the Tender document. The proposal must be signed by an official authorized to commit the bidder to the terms and conditions of the proposal. Bidder must clearly identify the full title and authorization of the designated official and provide a statement of bid commitment with the accompanying signature of the official and submit the copy of power of attorney / authority letter authorizing the signatory to sign the bid.

## 9- DEADLINE FOR SUBMISSION OF BIDS

9.1 Deadline for bid submission is **18.06.2021, 15.00 Hours**. The bid document along with required enclosures should be submitted at the place mentioned in clause No. 5 either in person or it can be sent by post but it should reach the concerned officer **on or before 15.00 Hrs. on 18.06.2021**.



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- 9.2 In the event of the specified date for the submission of bids, being declared a holiday for the bank, the bids will be received up to the appointed time on the next working day.
- 9.3 The bank may, at its discretion, extend this deadline for the submission of bids by amending the bid documents, in which case all rights and obligations of the bank and bidders previously subject to the deadline will thereafter be subject to the deadline as extended.
- 9.4 Any bid received by the bank after the deadline for submission of bids prescribed by the bank will summarily be rejected and returned unopened to the bidder.

#### 10- OPENING OF BIDS BY BANK

10.1 The bids (PART-I) will be opened in the presence of bidders' representatives if any.

10.2 The bidders' names, bid modifications or withdrawals and the presence or absence of the requisite bid security and such other details as the bank, at its discretion, may consider appropriate, will be announced at the bid opening. No bid shall be rejected at bid opening, except late bids, which shall be returned unopened to the bidder.

10.3 The technically qualified bidders will be intimated on date of opening of commercial bids. Commercial bids will be opened and L1 bidder will be finalized.

#### 11 - FORMAT AND SIGNING OF BID

All pages of the bid, except for non-amended printed literature, shall be initialed by the person or persons signing the bid. Any interlineations, erasure or overwriting shall be valid only if they are initialed by the person or persons signing the Bid.

#### 12 - CLARIFICATION OF BIDS

During evaluation of the bids, the Bank may, at its discretion, seek clarification from the Bidder for the bid submitted by the bidder(s). The request for clarification and the response shall be in writing/email, and no change in the prices or substance of the bid shall be sought, offered, or permitted.

#### 13 - AMENDMENTS OF RFP DOCUMENT

Bank reserves the right to amend the RFP any time prior to deadline for submission of bid. The same shall be notified to all the bidders through e-mail and such amendments shall be binding on the bidders.

#### 14 - EVALUATION CRITERIA

##### 14.1 General Evaluation

- a) The Bank will examine the bid to determine whether they are complete, whether the documents have been properly signed and whether the bid is generally in order.
- b) The bank may waive any minor informality, non-conformity, or irregularity in a bid which does not constitute a material deviation.



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- c) Prior to the detailed evaluation, the bank will determine the substantial responsiveness of bid documents. For the purposes of these clauses, a substantially responsive quote is one which conforms to all the terms and conditions of the bid documents without material deviations.
- d) The Bank at its discretion may modify any minor criteria in the bid, which does not affect the relative ranking of any Bidder.
- e) Evaluation may include visit to major locations of the earlier clients of the bidder, and discussion with them.
- f) Bank reserves the right to negotiate with lowest bidder for further reduction in price under exceptional circumstances.
- g) No extra charges other than those quoted in the Bid will be entertained including GST /any other taxes/ Conveyance / Courier etc.

#### 14.2 Commercial Evaluation

- a) Technically qualified bidders alone will be intimated the date of opening of commercial bids.
- b) The comparison of prices among the vendors shall be between the total price quoted inclusive of all duties, levies, warranty, installation charges but exclusive of GST only of the goods & services offered etc.
- c) The bidder should arrange for a presentation on IS Audit Methodology and approaches to be adopted and the capabilities of the firm to the accomplishment of the tasks assigned before opening of the bid

#### 15 - PROPOSAL PROCESS MANAGEMENT

The Bank reserves the right to accept or reject any or all proposals received in response to the RFP without assigning any reasons thereof. Also, the bank reserves the right to revise the RFP, to request one or more re-submissions or clarifications from one or more Bidders, or to cancel the process in part or whole without assigning any reasons.

Additionally, Bank reserves the right to alter the requirements, in part or whole, during the RFP process, and without re-issuing the RFP. Each party shall be entirely responsible for its own costs and expenses that are incurred while participating in the RFP, subsequent presentations and any other meetings during the process.

#### 16 - LIABILITIES OF BANK

This RFP is not an offer by Bank, but an invitation for bidder responses. No contractual obligation on behalf of Bank whatsoever shall arise from the RFP process unless and until a formal contract is signed and executed by duly authorized officials of Bank and the bidder.



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#### 17 - BID AND PROPOSAL OWNERSHIP

The Bid submitted and all supporting documentation/templates are the sole property of **Saptagiri Grameena Bank** and should NOT be redistributed, either in full or in part thereof, without the prior written consent of Bank. Violation of this would be a breach of trust and may, inter alia cause the Bidder to be irrevocably disqualified. The proposal and all supporting documentation submitted by the Bidder shall become the property of **Saptagiri Grameena Bank** and will not be returned.

#### 18 - BID PRICING INFORMATION

By submitting a signed bid, the Bidder certifies that the

- Bidder has arrived at the prices in its bid without agreement with any other bidder of this RFP for the purpose of restricting competition.
- Prices in the bid have not been disclosed and will not be disclosed to any other bidder of this RFP.
- No attempt by the Bidder, to induce any other bidder to submit or not to submit a bid for restricting competition, has occurred.

#### 19 - DISCLAIMER

The Bank and/or its officers, employees disown all liabilities or claims arising out of any loss or damage, whether foreseeable or not, suffered by any person acting on or refraining from acting because of any information including statements, information, forecasts, estimates or projections contained in this document or conduct ancillary to it whether or not the loss or damage arises in connection with any omission, negligence, default, lack of care or misrepresentation on the part of Bank and / or any of its officers, employees.

#### 20 - NEGOTIATION

The Bank reserves the right to further negotiate on the price offered, with the L1 vendor, if the price quoted is found unreasonable or in any exceptional circumstances

#### 21 - AWARDING OF CONTRACT

Acceptance of purchase order should be submitted within 5 days of purchase order along with authorization letter. If for any reason L1 bidder backs out after issuance of purchase order or the purchase order issued to the L1 bidder does not get executed in part / full, the bidder shall forfeit the EMD / Bank shall invoke performance bank guarantee and blacklist the bidder for a period of one year.

#### 22- SIGNING OF CONTRACT

Within fifteen (15) days of Purchase Order, the successful bidder shall sign the contract and return it to the Bank.



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**సప్తగిరి గ్రామీణ బ్యాంక్**

(ప్రభుత్వ రంగ సంస్థ : ఇండియన్ బ్యాంక్ ద్వారా ప్రయోజితం)

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### 23 - OTHER TERMS AND CONDITIONS

- i. The cost of preparing the proposal including visit / visits to the bank is not reimbursable.
- ii. The bank is not bound to accept any of the proposals submitted and the bank has the right to reject any/all proposal/s or cancel the tender without assigning any reason there for.
- iii. All pages of the bid document, clarifications/amendments if any should be signed by the authorized signatory and kept with Part-I. A certificate to the effect that the authorized signatory has the authority to bind the company, should also be attached along with the part-I.
- iv. The audit firm shall make available Information System Auditor and IS security auditor as and when required, at the specified location to facilitate early conduct of audit by the three banks.

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**SECTION III  
CONDITIONS OF CONTRACT**

**1. DEFINITIONS**

In this contract, the following terms shall be interpreted as indicated:

- a. "Applicable Law" means the laws and any other instruments having the force of law in India.
- b. "Bank" means Indian Bank.
- c. "Contract" means the agreement entered into between the Bank and the successful bidder, as recorded in the Contract Form signed by the parties, including all the attachments and appendices thereto and all documents incorporated by reference therein;
- d. "Contract Price" means the price payable to the successful bidder under the Contract for the full and proper performance of its contractual obligations;
- e. "Goods" means all of the deliverables or other materials which the Company should deliver as per this contract;
- f. "Party" means the Bank or the Company, as the case may be and Parties means both of them.
- g. "Personnel" means persons the employees of the successful bidder and assigned to the performance of the Services or any part thereof.
- h. "Services" means those services ancillary to the deliverables of the Company covered under the Contract

**2. USE OF CONTRACT DOCUMENTS AND INFORMATION;**

**2.1** The IS Auditor shall not, without the bank's prior written consent, disclose the contract, or any provision thereof, or any specification, plan, drawing, pattern, sample or information furnished by or on behalf of the banks in connection therewith, to any person other than a person employed by the IS Auditing Firm in the performance of the contract. Disclosure to any such employed person shall be made in confidence and shall extend only as far as may be necessary for purposes of such performance.

**2.2** The IS Auditor shall not, without the banks' prior written consent, make use of any document or information pertaining to this contract except for purposes of performing the contract.

**3. PATENT RIGHTS**

The IS Auditor shall indemnify the banks against all third-party claims of infringement of patent, trademark or industrial design rights arising from use of the Goods or any part thereof.

**4. PERFORMANCE SECURITY**

**4.1** Within 15 (fifteen) days of the acceptance of purchase order issued for the project by the Bank, the successful Bidder shall furnish the





performance security for 10 % of contract value per year valid for a

period of Twenty-four months (with further one month claim period), in the form of a Bank Guarantee in the format enclosed (Format 4 of section V).

**4.2** The proceeds of the performance security shall be payable to the Bank as compensation for any loss resulting from the Successful bidder's failure to complete its obligations under the Contract.

**4.3** The performance security will be discharged by the Bank and returned to the Successful bidder not later than thirty (30) days following the date of completion of the Successful bidder's performance obligations under the Contract.

**4.4** In the event of contract period being extended the Successful bidder has to extend the performance security to cover the contract period.

**4.5** Failure of the successful Bidder to comply with the requirement of signing of contract and performance Security shall constitute sufficient grounds for annulment of the award and forfeiture of the bid security, in which event the Bank may call for new bids.

**5. PAYMENT TERMS**

Payments for the job of Information System Auditor will be milestone payments after completion of each assignment.

The IS Audit Service Provider's fees will be paid in the following manner for each year:

10%	Of the IS Audit Service Provider's fees after two weeks of commencement of the audit work and on submission of audit plan/procedures and methodology covering all the points as per Scope of Work for IS Audit
25%	of the IS Audit Service Provider's fees on submission of Interim report
25%	of the IS Audit Service Provider's fees on submission of final report
25%	On submission of final review Audit (compliance audit) report covering all the points as per the Scope of Work.
15%	On final Sign-off

**6. DELAYS IN INFORMATION SYSTEM AUDIT**

The Information System Auditor must strictly adhere to the audit schedule, as specified in the Contract, executed between the bank and the Information







System Auditor, pursuant hereto, for performance of the obligations arising out of the contract and any delay will enable the Bank to resort to any or all of the following:

- (a) Claiming Liquidated Damages
- (b) Termination of the agreement fully or partly

**7. LIQUIDATED DAMAGES**

The liquidated damages will be an estimate of the loss or damage that the bank may have suffered due to delay in performance of the obligations (under the terms and conditions of the contract) by the Information System Auditor and the Information Security Auditor shall be liable to pay the Bank as liquidated damages at the rate of 0.5% for delay of every week or part thereof. Once the penalty crosses 10 % of the contract price, the Bank reserves the right to cancel the contract or take any other suitable penal action as deemed fit. Without any prejudice to the Bank's other rights under the law, the Bank shall recover the liquidate damages, if any, accruing to the Bank, as above, from any amount payable to the Information System Auditor either as per the Contract, executed between the Bank and the Information System Auditor pursuant hereto or under any other Agreement/Contract, the Bank may have executed/shall be executing with the information System Auditors.

**8. Contract Period:**

The award of the I S audit assignment initially will be for a period of one year and on satisfactory performance and on completion of the compliance audit for the first year, audit assignment may be extended for another one year at the sole discretion of the Bank.

**9. TERMINATION FOR DEFAULT**

- 9.1 The Banks, without prejudice to any other remedy for breach of contract, by 15 days written notice of default sent to the IS Auditor, may terminate this Contract in whole or in part:
  - a. if the IS Auditor fails to deliver any or all of the services within the period(s) specified in the Contract, or within any extension thereof granted by the Banks;
  - or
  - b. if the IS Auditor fails to perform any other obligation(s) under the Contract.
  - c. If the IS Auditor, in the judgment of the Banks has engaged in corrupt or fraudulent practices in competing for or in executing the Contract.

'For the purpose of this clause:

"**corrupt practice**" means the offering, giving, receiving or soliciting of anything of value to influence the action of a public official in the procurement process or in contract execution; and







"fraudulent practice" means a misrepresentation of facts in order to influence a procurement process or the execution of a contract to the detriment of the Banks, and includes collusive practice among Bidders (prior to or after bid submission) designed to establish bid prices at artificial non-competitive levels and to deprive the Banks of the benefits of free and open competition.

9.2 In the event the Banks terminates the Contract in whole or in part, the Banks may procure, upon such terms and in such manner as it deems appropriate, Goods or Services similar to those undelivered, and the IS Auditor shall be liable to the Banks for any excess costs for such similar Goods or Services. However, the IS Auditor shall continue performance of the Contract to the extent not terminated.

#### 10. FORCE MAJEURE

The Information System Auditor or the Bank is not responsible for delays or non-performance of any contractual obligations, caused by war, blockage, revolutions, insurrection, civil commotion, riots, mobilizations, strikes, blockade, acts of God, plague or other epidemics, fire, flood, obstructions of navigation by ice of port of despatch, acts of Govt. or public enemy or any other event

Beyond the control of either party which directly, materially and adversely affect the performance of any contractual obligation. If a force majeure situation arises, the Information System Auditor shall promptly notify the Bank in writing of such conditions and the change thereof. Unless otherwise directed by the Bank, in writing, the Information System Auditor shall continue to perform his obligations under the contract as far as reasonably practiced and shall seek all reasonable alternative means for performance not prevented by the force majeure event.

#### 11. TERMINATION FOR CONVENIENCE

11.1 The Banks, by one Month written notice sent to the IS Auditor, may terminate the Contract, in whole or in part, at any time for its convenience. The notice of termination shall specify that termination is for the Banks's convenience, the extent to which performance of the IS Auditor under the Contract is terminated, and the date upon which such termination becomes effective.

#### 12. SETTLEMENT OF DISPUTES

12.1 If any dispute or difference of any kind whatsoever shall arise between the banks and the IS Auditor in connection with or arising out of the contract, the parties shall make every effort to resolve amicably such disputes or difference by mutual consultation.

12.2 If after 30 days the parties have failed to resolve their disputes or difference by such mutual consultation, then either the banks or the IS Auditor may give notice to the other party of its intention to commence arbitration, as hereinafter provided, as to the matter in dispute, and no arbitration in respect of this matter may be commenced unless such notice is given.







12.3 Any dispute or difference in respect of which a notice of intention to commence arbitration has been given in accordance with this clause shall be finally settled by arbitration. Arbitration may be commenced prior to or after delivery of the goods under the contract.

Arbitration proceedings shall be conducted in accordance with the following rules of procedure.

The dispute resolution mechanism to be applied shall be as follows:

(a) In case of dispute or difference arising between the Banks and IS Auditor relating to any matter arising out of or connected with this agreement, such dispute or difference shall be settled in accordance with the Arbitration and Conciliation Act, 1996. The arbitral tribunal shall consist of 3 arbitrators one each to be appointed by the Banks and the IS Auditor; the third Arbitrator shall be chosen by the two Arbitrators so appointed by the Parties and shall act as Presiding Arbitrator. In case of failure of the two arbitrators appointed by the parties to reach upon a consensus within a period of 30 days from the appointment of the Arbitrator appointed subsequently, the Presiding Arbitrator shall be appointed by the Indian Banks' Association, India which shall be final and binding on the parties.

(b) If one of the parties fails to appoint its arbitrator within 30 days after receipt of the notice of the appointment of its Arbitrator by the other party, then the Indian Banks' Association, shall appoint the Arbitrator. A certified copy of the order of the Indian Banks' Association making such an appointment shall be furnished to each of the parties.

(c) Arbitration proceedings shall be held at Chennai, India, and the language of the arbitration proceedings and that of all documents and communications between the parties shall be English.

(d) The decision of the majority of arbitrators shall be final and binding upon both parties. The cost and expenses of Arbitration proceedings will be paid as determined by the Arbitral Tribunal. However, the expenses incurred by each party in connection with the preparation, presentation etc. of its proceedings as also the fees and expenses paid to the arbitrator appointed by such party or on its behalf shall be borne by each party itself.

(e) Where the value of the contract is Rs. 10 million and below, the disputes or differences arising shall be referred to the Sole Arbitrator. The Sole Arbitrator shall be appointed by agreement between the parties; failing such agreement, by the appointing authority namely the Indian Banks' Association.

(f) Submitting to arbitration may be considered as an additional remedy and it does not preclude the parties seek redressal/other legal recourse.

(g) Notwithstanding any reference to arbitration herein,

i. the parties shall continue to perform their respective obligation under the contract unless they otherwise agree; and







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ii. the banks shall pay the IS Auditor any payments due to the IS Auditor.

12.4 Submitting to arbitration may be considered as an additional remedy and it does not preclude the Parties to seek redressal/other legal recourse.

**13. CONFIDENTIALITY**

The Bidder will be exposed by virtue of the contracted activities to internal business information of Bank, affiliates, and/or business partners. Disclosure of the aforementioned information to parties not directly involved in providing the services requested could result in the disqualification of the Bidder, pre-mature termination of the contract, or legal action against the Bidder for breach of trust. Successful bidder has to enter into Non-disclosure agreement (as per format enclosed) with the Bank. Besides the successful bidder, the employees/representatives of the Bidder who are responsible for the implementation of the project are also required to enter into a Non-disclosure Agreement (as per the NDA format prescribed by the Bank for functionaries) in their personal capacity.

**14. APPLICABLE LAW**

The Contract shall be interpreted in accordance with the laws of India. Any dispute arising out of this contract will be under the jurisdiction of Courts of Law in Chennai.

**15. INDEMNITY**

The successful bidder will indemnify the Bank against all actions, proceedings, claims, suits, damages and any other expenses for causes attributable to the successful bidder. The successful bidder shall also indemnify the Banks against all third-party claims of infringement of patent, trademark or industrial design rights arising from use of the Goods or any part thereof without any limitation.

**16. ELIGIBILITY CRITERIA**

1. The bidder should be a Government Organization (Central or State)/PSU/PSE/ partnership firm/LLP or a limited company. Should be in existence for at least three years as on 31.03.2021 and should have two years' experience in Information System Audit of Banks. (Copy of Certificate of Incorporation, Memorandum and Articles of Association and / or copy of Registered Partnership Deed to be submitted as proof)

2. The bidder should have a minimum turnover of Rs. 2 (Two) Crores per year in the last three years (from operations in India). The bidder should have made net profits in succession for the last 2 years. The relevant documents to be submitted as part of the proposal are the last three financial years audited Balance Sheets and Profit & Loss Account reports shall be submitted along with the technical BID.

3. The bidder Organisation must have been empanelled by CERT-In for providing IT Security Auditing Service and the empanelment should currently be valid. Documentary evidence of the same to be enclosed with the technical Bid.



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4. The firm should have never been blacklisted / barred / disqualified by any regulator/ statutory body or the bidder/firm is otherwise not involved in any such incident with any concern whatsoever, where the job undertaken / performed and conduct has been questioned by any authority, which may lead to legal action. **Self-declaration to that effect should be submitted along with the technical Bid.** On a later date if self declaration is found to be void it may entail disqualification.
5. Should have prior experience in application functionality, security and controls review of the core banking solution for at least 2 scheduled commercial banks in India in the past 3 years.
6. Should have successfully conducted penetration testing and vulnerability testing in at least 2 Scheduled Commercial banks in India and should have sufficiently trained resources to conduct the tests.
7. Should have resources that are having sufficient domain knowledge of Core Banking solution and other banking applications
8. To ensure audit independence, the bidder should not be a vendor/consultant for supply/installation of Hardware/Software components of the Bank or involved in implementing Security & Network infrastructure of the Bank, either directly or indirectly through a consortium, in the past three years to RRB's (TNGB, SGB & PBGB) and should not have conducted the IS Audit of the ICT infrastructure of RRB's (TNGB, SGB & PBGB) during the preceding two years. However, the Bank reserves the right to decide if any of the activities mentioned above affects the auditor's independence or not for the current audit assignment at its own discretion.
9. The Core Audit team assigned for I.S. Audit of the Auditee, should have at least Four qualified professionals with qualifications such as CGEIT (Certified in the Governance of Enterprise IT), CISA, CISSP, CCNA, CCNP, ISO 27001/BS7799 Lead Auditor, OCM & OCP, out of which at least 3 persons should be CISA qualified (including team leader). Bidder must warrant that these key project personnel to be deployed in this project have been sufficiently involved in similar projects in the past. Bidders should provide information about such key project personnel who are proposed to be part of the IS Audit team along with the Bid Document. Bidder should ensure that the members of Core Audit team are actively involved in the conduct of the Audit throughout the period of the contract
10. The Audit engagement manager should have been with the firm for at least a period of 2 years
11. All members of audit team proposed by the bidder should be employees on the rolls of the bidding organization. No part of the engagement shall be outsourced by the selected bidder to third party vendors
12. The bidder should have conducted minimum three Information Systems and Security audit of Data Centre/ DR Site etc. during last 3 years out of which at least two audit should be for Scheduled Commercial banks in India. The proposal should include certificates stating successful completion of the mentioned audit engagements. The conduct of IS Audit as mentioned above should include :-



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I. Vulnerability assessment of servers, Operating System, Databases, Information security equipments, network equipment, web interfaces etc

II. External attack and penetration testing of equipments, Bank's web site and services exposed to outside world through internet.

III. Verification of compliance of systems and procedures as per Organization's IT Security Policy/ guidelines.

IV. I S Audit of Core Banking Application suite, Net Banking module, Mobile applications etc.

13..Bank reserves the right to seek more information in due course, if considered necessary.

(Conduct of audit of any one activity will not be considered as complete IS Audit of Core Banking /Data Centre/DR Site)

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**Section IV  
SCOPE OF THE PROJECT**

This RFP seeks to engage an Information Systems Audit Firm, which has the capability and experience to conduct a comprehensive Information Systems Audit of Bank's critical IT infrastructure and IT Governance.

- Bank seeks to have an external examination of the IT security to ward off risks in the IT Domain and to appraise the findings thereof to the Management.
- To determine the effectiveness of planning and oversight of IT Activities
- Evaluating adequacy of operating processes and internal controls
- Determine adequacy of enterprise-wide compliance efforts relating to IT Policies, external regulatory requirements and Internal Control Procedures.
- Identifying areas with deficient Internal Controls and recommend corrective action to address deficiencies.

The Auditors shall give reasonable assurance to the Top Management explicitly in their audit

report, with regard to

- o Completeness, effectiveness of the various Policies/ Procedures/ guidelines defined by the Bank from time to time as per guidelines from the regulatory authorities.
- o Compliance of all applicable guidelines / recommendations/ directions laid down by regulatory authorities like RBI, NPCI, UIDAI, CSITE etc. and ISMS control requirements of ISO/IEC 27001.

Information System Audit, Vulnerability Assessment and Penetration Testing of Bank's entire CBS and allied infrastructure including Hardware, Operating System, Database, Application(s), Network, Security Devices, Process & People in following locations/Offices:

- Data Center
- Disaster Recovery Site
- Project Office at Chennai including helpdesk operations
- Information Technology Departments at each of RRBs Head Offices
- Other departments at Head Offices of RRBs or any other bank's office at any place, where critical application/IT infrastructure is installed or may be installed.
- Premises/activities of any third party/service providers (outsourced activities) to review compliance of services/T&C under service level agreements, both at their Primary Site and DR Site
- Minimum 5 CBS branches per RRB (including systems rendering various types of services like Passbook printing, Cheque acceptance etc.)
- OS and DB, Vulnerability assessment of atleast 5 branch servers in each RRB

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**1. Infrastructure and Communication Technology audit**

RRBs intend to have Infrastructure and Communication Technology audit of the RRBs to be done by an external agency. The general scope of work is detailed as below.

- Access Control, physical, logical and environmental control surveillance systems.
- Data Center facilities like air conditioning, redundant power supply, fire protection system, rodent prevention systems etc
- Setup & maintenance of Operating System Parameters; OS Change Management Procedures – Version maintenance, hot-fixes & Service packs
- Vulnerability assessment/Penetration testing, hardening and secure configuration of Operating Systems, data base and network. The server hardening configuration document to be shared for each operating system available in the DC, DR, Branches and other locations
- Verification of Classification / categorization of assets according to their criticality
- User account management including maintenance of sensitive User accounts - Use of root and other sensitive passwords
- Rules for creation of Password including password lifecycle, encryption and storage.
- File systems security of the OS; Review of Access rights and privileges, role based access control
- Please mention Database security verification including various parameters whichever affects the confidentiality, integrity and availability
- To verify adequacy of various licences relating to DB, OS, network etc
- Registry settings, including registry security permissions
- SAN Security ie., data encryption and integrity; SAN Management including performance optimization, scalability, migration, restorability
- Logical Access Controls- To review all types of Application Level Access Controls including proper controls for access logs and audit trails to ensure the Sufficiency & Security of Creation, Maintenance, monitoring and Backup of the same
- Logical access controls which ensure access to data is restricted to authorized users; authorization, authentication and security are in place
- Backup Management
  - Database, storage, retrieval, restoration procedures from older version to newer versions
  - OS backup management in DC, DR, branches and other applicable locations.
- Network redundancy between all applicable locations i.e., between
  - DC and DR
  - Branches to DC/DR
  - Service Providers to DC/DR
- Security of oracle systems files viz. control files, redo log files, archive log files, initialization file, configuration file, Table space security, utilization, modifications, etc
- Checking of database privileges assigned to DBAs and Users (privilege like ALTER SESSION, ALTER SYSTEM etc.)
- Network Security architecture of the entire network including understanding traffic flow in the network at LAN & WAN level
- Review of security measures at the entry and exit points of the network,



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configuration of core routers/switches at datacenter/DR site including routers/switches in sample branches.

- Audit of network architecture from disaster recovery point of view
- Firewall configurations, deployment and effectiveness
- Open TCP/UDP ports
- Review of traffic & performance through
  - LAN/ WAN link utilization/ quality analysis/ bandwidth availability/ usage etc
  - Capacity planning analysis including scalability
  - Congestion area at various topology layer and traffic pattern analysis
  - Analysis of latency/response time in traffic across various links
  - Analysis of load balancing mechanism
- Audit of
  - Backup & recovery/restoration testing procedures
  - media maintenance procedures, definition of standards for external identification of magnetic media
  - access controls, movement and storage of backup media to support accountability
  - Consistency in handling and storing of information in accordance to its classification
  - Sufficiency checks of backup process to ensure data integrity/restorability from earlier versions, validity of the data to the present environment, periodicity of backup storage and retrieval, etc.
  - Controls for Prevention of Data Leakage through removable media or other means
  - Synchronization between DC & DR Site databases/application /web services.
- Day begin and Day end process, Audit of SOD / EOD procedures, controls, control of transactions affecting intermittent accounts, control of systems generated transactions, re-posting of night region transactions, Job schedulers and execution/rollback of standing instructions.
- Verification of interdependencies of infrastructure, network, Hardware, location – ensure that all the three Banks are capable of functioning independent of each other / sponsoring bank
- Review of Various policies relating to Information Technology, Information Security, Cyber security, Outsourcing/Vendor Management etc

**Vulnerability Assessment and Penetration Testing**

1. Assessment to identify vulnerabilities and security issues in the Application, bank's website / Web Services hosted within the network and on the public domain.
  - a. By Attempting to guess passwords using password cracking tools
  - b. Search for back door trap in the program
  - c. Attempt to overload the system using DDoS (Distributed Denial of Services) and DoS (Denial of Service) attacks
  - d. Conduct penetration testing and check for following common vulnerabilities like IP Spoofing, Buffer overflows, Session hijacks,



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**సప్తగిరి గ్రామాణ బ్యాంక్**

(ప్రభుత్వ రంగ సంస్థ : ఇండియన్ బ్యాంక్ ద్వారా ప్రయోజితం)

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Account spoofing, Frame spoofing, Caching of web pages, Cross-site scripting, Cookie handling, blind SQL / SQL injection etc.

2. OS/DB and network secure configurations
3. The Vulnerability assessment is to be carried out using Manual and Tool Based Black Box Testing.
4. Reports to be shared in a format as per the requirement of the bank.
5. Assessment to be conducted only by permanent employees of the firm with CISA/CISSP/DISA / ISO 27001 Lead Auditor/Professionals, Ethical Hackers having requisite expertise and experience in Information Security Audit.
6. The audit activities should be carried out based on the latest OWASP guidelines, ISO-27001 Standards, in compliance with Bank's IT Security Policies and Procedures, External regulations i.e., IT ACT 2008, IT Amendment Act 2008, RBI information Security guidelines and Best Practices and advisories issued from time to time and as other applicable standards
- 7.—Assessment to be carried out for all the sub-links residing within the main link and a declaration to the effect to be submitted at the time of submission of final compliance report

**2. Detailed scope of Information Systems Audit applicable for all locations**

1. Information Systems audit and Vulnerability Assessment of Core Banking Applications including BANC@24, and other modules integrated/interfaced with Core Banking like RTGS/NEFT/SFMS, Aadhaar Enabled Payment System (AEPS), IMPS, UPI other interfaces like Micro ATMs, with sponsoring bank.
2. Information Systems Audit of Enterprise Network including Network architecture review, NMS (Network Monitoring system) & process and procedure with report and recommendations
3. Vulnerability assessment of Infrastructure and architecture relating to Core Banking Data Centre, Project Office, Head Office, branches, etc. Scan non-production environments actively to identify and address potential problems after corrective actions have been taken, to ensure that vulnerabilities were actually eliminated.
4. Information Systems Audit of Standard applications and legacy applications such as RTGS/NEFT, Financial Inclusion application and In-house applications
5. Audit of FI application software Solution, infrastructure and database with particular reference to the process of issue of cards, authentication, and authorization of Micro ATM devices and process flow/handling of issuer/acquirer transactions and interfacing with UIDAI/NPCI including visit to atleast one village coming under each RRB and covered under FI.
6. Audit of processes / procedures involved in Backup, End Of Day (EOD), Start Of Day(SOD) operations, Execution of Standing Instructions and other processes integrated with EOD/SOD, etc., generation of reports, its distribution to branches, availability, consistency, data integrity, completeness of data
7. Bank will intimate the IS Auditor to conduct
  - 7.1. One time review of Information System audit recommendation relating to process, procedures etc upon implementation deemed feasible at its sole discretion.
  - 7.2. Re-evaluation to be done to cross check whether the vulnerabilities identified at the time of conduct of VA/PT have been completely mitigated which may involve reassessments until full remediation
8. Presentation to the Top Management on the findings of the Report



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**At DC/DR level:**

1. Access control systems, Surveillance systems of Data Centre/ DR Site, Premises management
2. Assessment of risks and vulnerabilities due to natural calamities; Air-conditioning, humidity control systems, etc. of DC/ DR Site etc.
3. Fire protection systems, their adequacy and state of readiness.
4. Electrical supply, Redundancy of power level, Generator, UPS capacity
5. Assets safeguarding, handling of movement of Man /Material/ Media/ Backup / Software/ Hardware / Information.
6. Pest prevention / rodent prevention systems, Water leakage detection systems.
7. Setup & maintenance of Operating System Parameters; OS Change Management
8. Procedures- Version maintenance, hot-fixes & Service packs
9. Vulnerability assessment, hardening and configuration of Operating Systems, data base and network.
10. Share with the Bank server hardening documents to be implemented before migration and loading of application/go-live
11. User account management including maintenance of sensitive User accounts - Use of root and other sensitive passwords
12. File systems security of the OS; Review of Access rights and privileges, role based access control
13. Use of administrative shares, default login /passwords, remote access / Net meeting or any other such tool
14. Use of sensitive system software utilities
15. Remote access polices including Remote Desktop Management.
16. Users and Groups created, including all type of user's management ensuring password complexity, periodic changes etc.
17. Profiles and log-in scripts
18. Services and ports accessibility; validate the process for creating, deploying, managing and making changes to virtual machines (VM ware) and VSAN
19. Review of Log Monitoring, its sufficiency, security, preservation and backup;
20. Registry settings, including registry security permissions
21. Implementation of ADS (Active Directory Services) or Group Policy
22. Antivirus update and effectiveness of Big-Fix in patch updation
23. SAN Security ie., data encryption and integrity; SAN Management including performance optimization, scalability, migration
24. Logical Access Controls- To review all types of Application Level Access Controls including proper controls for access logs and audit trails to ensure the Sufficiency & Security of Creation, Maintenance, monitoring and Backup of the same
25. Input controls, Processing controls, and Output controls for all critical Bank's systems
26. Interface controls - Interfacing of software with ATM switch, FI and Other interfaces at Network level, Application level and security in their data communication
27. Authorization controls such as Maker Checker, Exceptions, Overriding exception & Error condition
28. User ID / Password Management; Hard coded user-ids and password, Segregation of duties, access control over development, test and production regions



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29. Audit of controls over operations including communication network, data preparation and entry, production, documentation and program library, Help Desk and technical support, capacity planning and performance, availability of user & operation manuals
30. Manageability with respect to ease of configuration, transaction roll backs, time taken for end of day, day begin operations and recovery procedures
31. Logical access controls which ensure access to data is restricted to authorized users; authorization, authentication and security are in place; Segregation of duties
32. Confidentiality requirements are met; Physical access and protection
33. Protection of Sensitive Information during transmission between applications/databases
34. Database Backup Management, storage, retrieval, restoration procedures from older version to newer versions
35. Purging -Policy, procedures and process of purge of data
36. Security of oracle systems files viz. control files, redo log files, archive log files, initialization file, configuration file, Table space security, utilization, modifications, etc
37. Password check-up of Systems and Sys Users
38. Checking of database privileges assigned to DBAs and Users (privilege like ALTER SESSION, ALTER SYSTEM and BECOME USER etc.
39. To examine and review different types of Logs generated from users/ background/ memory process etc. and to examine the controls ensuring sufficiency & security of creation, maintenance and backup of the same
40. Procedures to ensure that all data are classified in terms of sensitivity by a formal and explicit decision by the data owner and necessary safeguards for its confidentiality, integrity and authenticity are taken as per IT Security Policy
41. Patches and new versions are updated as and when released by vendor/ Research and Development team
42. Network Security architecture of the entire network including understanding traffic flow in the network at LAN & WAN level
43. Review of redundancy for Links and Devices in CBS Setup both at central level and branch level
44. Review of security measures at the entry and exit points of the network
45. Checking Inter-VLAN Routing and Optimization, Study of incoming and outgoing traffic flow among web servers, application servers, database servers, DNS servers and Active Directory.
46. Audit of VLAN segregation, access to servers, encryption mechanisms for connectivity and access, remote access provisioning etc
47. Review of Routing policy, Route path and table audit; Review of placement of security devices and DMZ's; Routing protocols and security controls therein
48. Audit of network architecture from disaster recovery point of view
49. Access control for DMZ, WAN, and for specific applications of the respective zones
50. Firewall configurations, deployment and effectiveness
51. Review of all types of network level access controls & logs, for ensuring sufficiency & security of creation, maintenance and backup of the same, delegation of rights to users in accordance with job functions.
52. Review of Methodology adopted in maintenance of Network devices, their performance, replacement at all locations, DC/DR/Branches/ offices.
53. Active directory management – creation, maintenance, allocation of access rights and user groups, restrictions etc
54. Incident management: Audit of Incident Management and handling processes,



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roles and responsibilities, alerting and incident response procedures, verification of incident reports and effectiveness measurement, awareness of security incidents and events, Adherence to SLA

55. Review of
  - i) Network documentation policy
  - ii) Network topology diagram
  - iii) nomenclature of server names, labelling, roles and allocation of IP Addresses
  - iv) Creation of change log for each server
  - v) Documentation of software versions and proof of licence
  - vi) Documentation of hardware /firmware components, mode of connectivity of device, configuration, back up for configuration, password management for each device
  - vii) Documentation of backup procedure
  - viii) Violation logging management
56. Checking for all known Viruses, Trojans, Root kits, Worms
57. Open TCP/UDP ports
58. Review of traffic & performance through
  - i) LAN/ WAN link utilisation/ quality analysis/ bandwidth availability/ usage etc
  - ii) Capacity planning analysis including scalability
  - iii) Congestion area at various topology layer and traffic pattern analysis
  - iv) Analysis of latency/response time in traffic across various links
  - v) Analysis of load balancing mechanism
59. Audit of
  - i) Backup & recovery/restoration testing procedures
  - ii) media maintenance procedures, definition of standards for external identification of magnetic media
  - iii) access controls, movement and storage of backup media to support accountability
  - iv) Consistency in handling and storing of information in accordance to its classification
  - v) Sufficiency checks of backup process to ensure data integrity/restorability from earlier versions, validity of the data to the present environment, periodicity of backup storage and retrieval, etc.
  - vi) Controls for Prevention of Data Leakage through removable media or other means
  - vii) Synchronization between DC & DR Site databases
60. Protection of records from loss, destruction and falsification in accordance to statutory, regulatory, contractual and business requirement
61. Review of Retention periods and storage terms, as per regulatory requirements for documents, data, programs, reports, messages (incoming & Outgoing), keys/certificates used for encryption and authentication, log files for various activities
62. Policy on implementation and Assurance to the management regarding proper controls and periodic updation of the same to prevent Cyber Frauds / IT Frauds and detection mechanism
63. Review of methodology adopted in identification of critical business process, systems and establish its ownership
64. Escalation procedure and policy with reference to efficacy of Emergency Response team/ Recovery team/Salvage Team/Incidence Reporting team
65. Review the adequacy of processes for conducting business impact analysis, risk assessment on the basis of Business Impact Analysis (BIA); Review and assess the







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adequacy of recovery strategies deployed by bank including cryptographic disaster

66. Participate in the DR Drill conducted by the bank every half year, once from the DR site and the other from the Data Centre and review DR Drill activity with respect to Standard Operating Procedures, documented procedures, highlight any deviations from such procedures or improvements, if any, thereupon, including the effectiveness and efficiency of the automated tool for Switch over / Switch back activities
67. Adherence to Recovery Time Objective ('RTO') and Identification of Recovery Point Objective ('RPO') based on policies/guidelines
68. Data Backup – periodic media verification for its readability, offsite storage and movement of backups at the time of DR Drill; restoration of backup at DR Site
69. Assurance from Service providers for critical operations for having BCP in place with testing performed on periodic basis
70. Maintaining of robust framework for documenting, maintaining and testing business continuity and recovery plans by Bank and service providers
71. Adequate insurance maintained to cover the cost of replacement of IT Resources in event of disaster.
72. Time delay in transmission and restoration of daily data at DRS
73. Review of physical / logical access provided to third party contractors working onsite
74. Personnel scheduling - Shift hand-over process
75. Day begin and Day end process, Audit of SOD / EOD procedures, controls, control of transactions affecting intermittent accounts, control of systems generated transactions, re-posting of night region transactions, Job schedulers and execution/rollback of standing instructions.
76. Reviews of console log activity during system shutdown and hardware/ software initialization
77. Processes documentation; Operational procedure/documentation for Data Centre/ DR Site
78. Review of monitoring of operator log to identify variances between schedules and actual activity
79. Duty / Role segregation mechanisms/ procedures
80. Review of Biometric Authentication systems
81. Audit/ Review of security tools like Privileged Identity Management Solution (PIM), CISCO Anyconnect and Forti Authenticator, with regard to their implementation, integration, maintenance, effective utilization etc.

**At PO and HO Level:**

1. Review of Parameter maintenance process and controls implemented therein
2. Change management / Patch management procedures including change request, unit/integration testing, impact analysis documentation, adequacy of user acceptance tests, roll-back procedure and version control. Availability of documentation pertaining to change requests with all changes traceable.
3. Exceptional procedures and approval mechanism for emergency changes
4. Backend Updates in the Bank's systems including CBS etc., Parameter Relaxations, Single Sided transactions, etc.
5. Review adequacy and completeness of controls; Identification of gaps in application security parameters
6. Audit of management controls including system configuration/ parameterization
7. Monitoring of outsourced operations, Adequacy of Vendor support and whether in line with Service Level Agreements



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8. Review of Software customization and adherence to SDLC Policy for such customization
9. Adherence to Legal & Statutory Requirements
10. Application level Recovery & Restart procedures; Backup/Fallback/Restoration procedures and contingency planning
11. Application-level risks at system and data-level including system integrity risks, system-security risks, data risks and system maintainability risks
12. Special remarks may also be made on following items- Hard coded user-id and Password, system mail retrieval and storage
13. Evaluation of centralized controls over Routers installed in Branches, DC/DR & their Password storage and Management
14. Audit of VSAT & Wireless connectivity infrastructure
15. Active directory management – creation, maintenance, allocation of access rights and user groups, restrictions etc
16. Prevention of unauthorized access of former employees; People on notice period moved to non-sensitive role; Retired/Dismissed staff to be removed from the Active User List on immediate basis; Close supervision of staff in sensitive position
17. Procedures to prevent access to sensitive information and software from Computers, disks and other equipment or media when they are disposed of or transferred to another user are defined and implemented
18. Review of Coverage of confidentiality clause/Non-disclosure Agreement and clear assignment of liability for loss resulting from information security lapse in the vendor contract
19. Service levels are defined and managed; review of financial and operational condition of service provider with emphasis to performance standards, imposing penalties wherever deviations are observed, business continuity preparedness
20. Review of monitoring of vendors activities as per SLAs
21. Review of physical / logical access provided to third party contractors working onsite
22. Review of formal agreements executed to take care of all the risks associated with outsourcing

  
CHAIRMAN





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**Section V.  
Bid Formats**

**1. TECHNICAL BID**

**Sub: INFORMATION SYSTEMS AUDIT OF RRBs**

Ref No: HO/ITD/1010/2021

To

Date :

Saptagiri Grameena Bank,  
PB No: 17,  
Hotel Durga Complex,  
Naidu Buildings,  
Chittoor – 517001  
Ph: 08572-227992

Having examined the Bidding Documents including Addenda Nos. ....(insert numbers), the receipt of which is hereby duly acknowledged, we, the undersigned, offer to do Information systems audit and submit our technical Bid as follows:

1. Name
2. Constitution and year of establishment
3. Registered Office/Corporate office/Mailing Address
4. Names & Addresses of the Partners if applicable
5. Contact Person(s)
6. Telephone, Fax, e-mail
7. Whether empanelled by CERT-IN for providing IT Security Auditing Service and empanelment is currently valid or not (date of empanelment and period to be specified)



**I. Head Office  
Dept.**

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8. Number of CISA Qualified persons working in your firm along with names and experience.
9. Number of CISSP Qualified Persons working in the firm along with the names and experience.
10. Number of BS7799/ISO27001 lead auditors working in the firm along with the names and experience.
11. Number of Qualified network professionals and Ethical Hackers working in the firm along with names and experience
12. Number of years of experience in Information System Audit.
13. Describe Project Management methodology for the proposed IS Audit assignment, clearly indicating about the composition of various teams.
14. Describe Audit Methodology and Standards to be used for IS Audit.
15. Indicate Project Plan with milestones and the time frame of completion of different activities of the project.
16. List of Deliverables as per the "Scope of Work"
17. Role and responsibility of Individual RRBs and the Audit firm; explain other requirements from Banks, if any.
18. Please give details of Information System Audit of Core Banking System carried out for Scheduled Commercial Banks in the past 3 years. The details of services and the scope to be indicated.
19. Please give details of Information System Audit of Internet Banking, SWIFT, Mobile Apps, etc. carried out for any Banks in India, Overseas Audit assignments if any may be specified separately.
20. Please give brief financial particulars of your firm for the last 3 years along with the volume of business handled.

(The information will be kept confidential)



I.T.

Dept.

H.O: CHITTOOR

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1. Net Profit/Loss

2. Total Turnover

3. Revenue earned from Information Security Audit.

21. The team must have experience in IS audit of Security Technologies with multiple certifications such as RSA, CISCO Pix, Check Point, ISS, Trend etc.

22. Details of Location and infrastructure of Security Operations Centre from where services such as external vulnerability analysis and penetration testing are to be conducted/managed.

23. Capability on security remote management for security checking and device management.

24. Details of Internal expertise in networking, application development, security integration with application.

25. Any other related information, not mentioned above, which the audit firm wish to furnish.

**Note: The Technical Bid shall include the detailed project plan corresponding to the deliverables as required by Indian Bank for the Project. The project plan should indicate the milestones and time frame of completion of the different activities of the project. The audit firm is required to give details of the project management methodology, Audit Standards and methodology along with the quantum of resources to be deployed for the project, in the technical bid. Resources and support required from the Bank may also be clearly defined.**

We submit that we should abide by your terms and conditions governing the quotations mentioned in the bidding document.

We submit that we abide by the details given above.

We undertake, if our bid is accepted, to complete the services in accordance with the delivery schedule specified in the bid.

If our bid is accepted, we will obtain the guarantee of a bank in a sum equivalent to 10% of rental charges per year valid for a period of thirty nine months (with further one month claim period), in the form of a Bank Guarantee, in the form prescribed by the Bank.

We agree to abide by this for the bid validity period specified and it should remain binding upon us and will be accepted at any time before the expiration of that period.

Until a formal contract is prepared and executed, this bid, together with your notification of award, should constitute a binding Contract between us.



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We undertake that, in competing for (and, if the award is made to us, in executing) the above contract, we will strictly observe the laws against fraud and corruption in force in India.

We understand that you are not bound to accept the lowest or any bid you may receive.

We clarify/confirm that we comply with the qualification criteria of the bidding documents.

Dated this..... day of ..... 201.....

....., Mobile No.

Email :

Signature

(In the Capacity of)

..... Duly Authorised to sign bid for and on behalf of (give below the Name & Address of Bidder)



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(ప్రభుత్వ రంగ సంస్థ : ఇండియన్ బ్యాంక్ చే ప్రాయోజితం)

**सप्तगिरि ग्रामीण बैंक**

(सार्वजनिक क्षेत्र आरआरबी : इंडियन बैंक द्वारा प्रायोजित)

**2. FORMAT OF CURRICULUM VITAE (CV)**

For Key Personnel likely to be associated with the IS Audit  
(To be furnished on a separate sheet for each employee)

Name of the Person		
Profession		
Date of Birth		
Nationality		
Qualifications (Technical and Academic with year of passing):		
Membership of Professional Societies		
Service in this firm from		
Previous employment record	Organization	From to
Details of Key assignments handled in the past three years		
Organization	Month & Year	Details of assignment done

Give an outline of person's experience and training most pertinent to assigned tasks, describing the degree of responsibility held by the person on relevant previous assignments





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**3. Commercial Bid**

The Commercial Bid should contain the Total project cost, on a fixed cost basis. Indian Bank will not provide any reimbursement for travelling, lodging/boarding, local conveyance or any other related expenses.

**The Commercial Proposal to be given individually for each of the RRBs and the invoices are to be raised individually.**

1. The format for the commercial bid is given below :

S. NO.	Name of the Project	Cost [Rs.] per year (Inclusive of all charges and exclusive of GST)
	IS Audit pertaining to Core Banking Solutions (data centre/project office/ network)	
	IS Audit of Internet Banking, e-commerce, mobile banking, payment systems, UPI etc	
	IS Audit of Enterprise Network, network monitoring system	
	IS Audit of Bank's Security Operations Centre, IDPS, Anti-virus Management	
	Vulnerability Assessment and Penetration Testing on all Bank's critical/non-critical assets	







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	IS Audit, VA and PT of D R Site	
	Performance and capacity management audit of ICT infrastructure	
	Audit of FI Application, infrastructure and process	
	All other items referred in the scope	



Head office : P.B. No.17, Chittoor - 517 001, Phones : 233598, 232535, Fax : 08572 - 229822  
Email : svgbhocr@yahoo.co.in, Website : www.saptagirigrameenabank.in



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**4. PERFORMANCE SECURITY FORM**

Bank Guarantee No. \_\_\_\_\_

Date : \_\_\_\_\_

To : Saptagiri Grameena Bank, Chittoor, INDIA :

**WHEREAS** ..... (Name of Vendor) hereinafter called "the Vendor") has undertaken, in pursuance of Contract No..... dated,..... 20... to supply.....(Description of Goods and Services) (hereinafter called "the Contract").

**AND WHEREAS** it has been stipulated by you in the said Contract that the Vendor shall furnish you with a Bank Guarantee by a recognised bank for the sum specified therein as security for compliance with the Vendor's performance obligations in accordance with the Contract.

**AND WHEREAS** we have agreed to give the Vendor a Guarantee:

**THEREFORE WE** hereby affirm that we are Guarantors and responsible to you, on behalf of the Vendor, up to a total of ..... (Amount of the Guarantee in Words and Figures) and we undertake to pay you, upon your first written demand declaring the Vendor to be in default under the Contract and without cavil or argument, any sum or sums within the limit of ..... (Amount of Guarantee) as aforesaid, without your needing to prove or to show grounds or reasons for your demand or the sum specified therein.

This guarantee is valid until the .....day of.....20.....

Signature and Seal of Guarantors

.....  
Date.....20.....

Address:.....  
.....

**NOTE :**

1. Vendors should ensure that seal and code no. of the signatory is put by the bankers, before submission of the bank guarantees.
2. Bank guarantees issued by banks located in India shall be on a Non-Judicial Stamp Paper of requisite value







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**5. SELF DECLARATION – BLACKLISTING**

Bid Ref: HO/ITD/1010/2021

Date:

To

Saptagiri Grameena Bank,  
PB No: 17,  
Hotel Durga Complex,  
Naidu Buildings,  
Chittoor – 517001  
Ph: 08572-227992

Dear Sir,

**Sub: Supply, installation and maintenance of Network equipment**  
**Ref: Bid Ref: HO/ITD/1010/2021 dated 09.06.2021**

We hereby certify that, we have not been blacklisted by any Government Dept / PSU / Banks.

**Signature of Authorized Official**

**Name and Designation with Office Seal**

**Place:**

**Date:**



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