

Application for empanelment of CERT-IN approved vendors for Information system (IS Audit) DC, DR, NDR and Comprehensive audit of Core Banking project & Applications

From: Name of the Applicant (Information Security Auditor)	To The Nainital Bank Ltd., Central Internal and Audit Division, 4th Floor, Opposite Session Court, Haldwani, District: Nainital Uttarakhand - 263139
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Date: _____

Signed Photo							
Name							

Dear Sir,

With reference to Bank's e-mail dated for empanelment of IS Auditors, I / We submit my/our application for your consideration:

1.	Name of the Applicant		
2.	Constitution		
3.	Date of Establishment		
4.	PAN of Firm		
5.	GST No.		
6.	Communication Details:		
	a) Registered / Head Office (Address)		
	b) Other Offices (Address)		
	c) Address for Communication		
	d) No. of Offices in India & Location		
	e) Phone No./Mobile No. of the Firm and Proprietor/ Partners	Name	Phone /Mobile No.
	f) Email Address		
	h) Account Details of applicant	The Applicant need to submit the details of account wherein the EMD amount is to be returned if the EMD is sent through NEFT.	

		The following details are to be submitted: Account Name - Account Number - IFSC Code - Bank Name - Branch Name -		
7.	Membership/Affiliation details with Institutes of Chartered / Cost Accountants:			
	Name of the Body	Membership No.	Member since	Membership type
8.	Practicing as Auditor since (Date)			
9.	Undertaking IS Audit since (Date)			
10.	Brief Details of IS Audits handled in last 3 years with name of clients.		Attach separate sheet, if required	
11.	Details of existing Empanelment/s			
12.	Details of present Set Up / Infrastructure available to undertake IS Audits. (Including Audits under SAP environment)		Attach separate sheet, if required	
13.	Number of Qualified Staff (Trained Employees / Trainees / Apprentices besides a Chartered Accountant / Cost Accountant) <i>(Provide no. of staff in each category)</i>		Category	Number
			Chartered Accountant (ACA/FCA)	
			CISA	
			DISA	
			CISSP/ CISM	
			CCNA/ CCNP/ CCSP	
			OSCP	
			CEH	
			ISO 27001, 9001	
14.	Names of Proprietor / Partners (also mention Managing/ Key/ Senior Partner)		Name	Designation
15.	Particulars of Proprietor/Partners, etc. <i>(For each partner to be provided in the following format)</i>			

	Name			
	Son/daughter/wife of			
	Sex		Nationality	
	Date of Birth		Age	
	PAN		Mobile No.	
	Telephone No.		E-mail Address	
	Residential Address			
15A	Educational / Professional Qualifications: (* Graduate Degree /Diploma / Post Graduate Degree/Diploma/Certificate / Professional Certificate)			
	Qualification	Nature*	University / Institution / Examining Body	Date of award
15B	Membership / Affiliation Details:			
	Name of the Body	Member since	Membership Type	Membership No.
15C	Work experience details:			
		<i>Under this firm</i>	<i>Under other firms</i>	
	Practicing as Auditor since			
	Undertaking IS Audit since			
	IS Audits handled in last 3 years with name of clients [Attach separate sheet if required]			
	Past Experience In Delivery of Projects			
	Number of Auditors on Roll.	Self-Undertaking from Applicant		
	Expertise in VAPT tools			
	Details about the tools	Submit relevant documents		
15D	Other details:			
	Whether proprietor/partner of any other firm? If so, name and address			
	Duration with the applicant firm			
	Status of Empanelment with Cert - IN			
16.	Undertakings / Declarations:			

A.	I/We do hereby undertake that [strike out which is not applicable]			
	I/we/none of our employees are ex-employee of your Bank,			
	OR			
	I/ _____ of our partners/ _____ of our employees was/ were ex-employees of your Bank (give details, viz. Name, SPF No. and Date of retirement/ resignation) but ceased to be under your employment for the last 1 year or more.			
	AND			
	I/We shall not induct/employ any partner/employee during the tenor of our empanelment as a IS auditor, who is/are within the abovementioned cooling period of 1 year from the date of retirement / resignation			
B.	I/We do hereby declare that-			
	a) I/We am/are not central statutory auditor of your Bank			
	b) I/We am/are not branch statutory/concurrent auditor of your Bank OR			
	c) I/We are statutory/concurrent auditor of following branches:			
	Branch	Assignment	From	To
	d) I/We undertake to disclose any change in the above status as and when takes place during the empanelment period.			
C.	I/We do hereby solemnly declare and affirm that-			
	• I/We have not been removed /dismissed from service/ employment/ empanelment for any act of misconduct/unfair practices/frauds earlier.			
	• I/We have not been convicted of any offence and sentenced to a term of imprisonment.			
	• I/We have not been found guilty of misconduct in professional capacity			
	• I/We have not been convicted of an offence connected with any proceeding before any court of law in India I/We am/are not undischarged insolvent(s)			
	• There are no complaints against me/us, registered with CBI/SFIO/Police/Courts of law/statutory authorities.			
	• I/We have not been blacklisted/depanelled by any Bank/FI/IBA/CERT - IN/ others in the past			
D.	I/We solemnly declare that the information furnished above is complete and entirely true and nothing has been concealed. I/We also affirm that terms & conditions of Union Bank of India relating to empanelment of IS Auditors are acceptable to us and I/We also undertake to keep the Bank informed of any events /happenings which would make me/us ineligible for empanelment / remaining empanelled as IS Auditor.			
E.	ADHERENCE TO CODE OF CONDUCT FOR IS AUDITOR: All IS Auditor empanelled with bank shall strictly adhere to the following code of conduct:			

	<p><u>Integrity and Fairness:</u></p> <ol style="list-style-type: none"> 1) A IS Auditor shall, in the conduct of his/its business, follow high standards of integrity and fairness in all his/its dealings with his/its clients and other IS Auditor. 2) A IS Auditor shall maintain integrity by being honest, straightforward, and forthright in all professional relationships. 3) A IS Auditor shall endeavor to ensure that he/it provides true and adequate information and shall not misrepresent any facts or situations. 4) A IS Auditor shall refrain from being involved in any action that would bring disrepute to the profession. 5) A IS Auditor shall keep public interest foremost while delivering his services
	<p><u>Professional Competence and Due Care:</u></p> <ol style="list-style-type: none"> 6) A IS Auditor shall render at all times high standards of service, exercise due diligence, ensure proper care and exercise independent professional judgment. 7) A IS Auditor shall carry out professional services in accordance with the relevant technical and professional standards that may be specified from time to time.
	<ol style="list-style-type: none"> 8) A IS Auditor shall continuously maintain professional knowledge and skill to provide competent professional service based on up-to-date developments in practice, prevailing regulations/guidelines and techniques. 9) In the preparation of a IS audit report, the IS Auditor shall not disclaim liability for his/its expertise or deny his/its duty of care, except to the extent that the assumptions are based on statements of fact provided by the subject firm (ie. whose IS audit is undertaken) or its auditors or consultants or information available in public domain and not generated by the IS Auditor. 10) A IS Auditor shall not carry out any instruction of the subject firm in so far as they are incompatible with the requirements of integrity, objectivity and independence.
	<p><u>Independence and Disclosure of Interest:</u></p> <ol style="list-style-type: none"> 11) An IS Auditor shall act with objectivity in his/its professional dealings by ensuring that his/its decisions are made without the presence of any bias, conflict of interest, coercion, or undue influence of any party, whether directly connected to the assignment or not. 12) An IS Auditor shall not take up an assignment if he/it or any of his/its relatives or associates is not independent in terms of association to the subject client or any of its group or associated companies for the past 3 years. 13) An IS Auditor shall maintain complete independence in his/its professional relationships and shall conduct the IS audit independent of external influences. 14) An IS Auditor shall wherever necessary disclose to the Bank, possible sources of conflicts of duties and interests, while providing unbiased services. 15) An IS Auditor shall not indulge in “mandate snatching” (to undertake assignments for IS audit inspection of a particular site / unit using unscrupulous means)” or offering “convenience IS audit” in order to cater to a client’s needs. <p>As an independent IS Auditor, the IS Auditor shall not charge success fee (Success fees may be defined as a compensation / incentive paid to any third party for successful closure of transaction. In this case, favourable IS audit report).</p>

	<p><u>Confidentiality:</u></p> <p>A IS Auditor shall not use or divulge to any other party any confidential information about the subject client for whom IS audit is conducted, which has come to his/its knowledge without proper and specific authority or unless there is a legal or professional right or duty to disclose.</p>
	<p><u>Information Management:</u></p> <p>16) A IS Auditor shall ensure that he/ it maintains written contemporaneous records for any decision taken, the reasons for taking the decision, and the information and evidence in support of such decision. This shall be maintained so as to sufficiently enable a reasonable person to take a view on the appropriateness of his/its decisions and actions.</p> <p>17) A IS Auditor shall appear, co-operate and will provide all information and records in case of any need or legal or statutory or professional requirement</p>
	<p><u>Gifts and Hospitality:</u></p> <p>18) A IS Auditor or his/its relative shall not accept gifts or hospitality which undermines or affects his independence as a IS Auditor.</p> <p><i>Explanation.</i> —For the purposes of this code the term ‘relative’ shall have the same meaning as defined in clause (77) of Section 2 of the Companies Act, 2013 (18 of 2013).</p>

	19) A IS Auditor shall not offer gifts or hospitality or a financial or any other advantage to a public servant or any other person with a view to obtain or retain work for himself/ itself, or to obtain or retain an advantage in the conduct of profession for himself/ itself
	Remuneration and Costs: 20) A IS Auditor shall provide services for remuneration which is charged in a transparent manner, is a reasonable reflection of the work necessarily and properly undertaken, and is not inconsistent with the applicable rules. 21) IS Auditor shall not accept any fees or charges other than those which are disclosed in a written contract with the person to whom he would be rendering service. 22) The Applicant will have to make their own travel, fooding and lodging/boarding arrangements, without any extra cost to the bank. No reimbursement will be done by the bank in this respect.
	Occupation, Employability and Restrictions: 22) A IS Auditor shall refrain from accepting too many assignments, if he/it is unlikely to be able to devote adequate time to each of his/ its assignments. 23) A IS Auditor shall not conduct business which discredits the profession.

Date:

Place:

For & on behalf of _____ (Name of the Firm)

Signature				
Name				
Designation				

[All partners to subscribe their signatures]

LIST OF SELF-ATTESTED DOCUMENTS ATTACHED WITH THE APPLICATION

Description of Document	No.
1. Photographs of the applicant IS Auditor/proprietor/all partners	
2. Identity and address proofs of the applicant IS Auditor/proprietor/all partners	
3. Copy of Trade License/Registration certificate/certificate of practices	
4. Copies of PAN Card of the applicant IS Auditor/proprietor/all partners	
5. Copies of GST Number	
6. Address Proof	
7. Copies of Registration Certificate of the applicant IS Auditor/ proprietor/ all partners with Institute of Chartered Accountants of India and Institutes of Cost Accountants of India	
8. Copies of Registration Certificate of the applicant IS Auditor/ proprietor/all partners under CISA/DISA, CISSP/ CISM, CCNA/ CCNP/ CCSP, CEH/CERT - IN Empanelment (in case application is for audit of specialized Information Security)	
9. Evidences of professional qualifications and experience of the applicant IS Auditor/proprietor/all partners	
10. Evidences of enrolment/ registration as valuers with professional bodies	

<p>11. Evidences of existing empanelment, if any, with at least -2- years in any -1- Scheduled Commercial Bank/ PSU / Private Bank/RRB /Co-Operative Bank* in India.</p> <p>*The Co-Operative Bank must have the following criteria as on 31.03.2023.</p> <p>1-Branch Operations in at least three states in India.</p> <p>2-Total Business of Rs. 1,000 crore or above in India.</p> <p>(Copy of proof must be closed For both Point No i and ii)</p>	
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