Pre-Bid Queries Response for Tender Reference No- NTB/CIAD/IS/2021/10/012, Tender for Information Systems (IS) audit and comprehensive Audit of Core Banking Project & other applications					
Sr. No	**Page No./ Section No.**	**Clause No.**	**Reference/ Subject**	**Clarification Sought**	**Response by Bank**
1	Page 13, section 4.6 and Page 18	Point (ii). 4.6. Micro and Small Enterprise (MSE)	MSEs are exempted from paying the application money and Bid security amount for which the concerned enterprise needs to provide necessary documentary evidence issued by NSIC. For MSEs Government of India provisions shall be considered while evaluating the tender. Bids received without EMD and tender cost (application money) from bidders not having valid NSIC registered documents for exemption will not be considered.	Please confirm enterprises under MSME to be exempted from EMD and Tender fee. MSME certificate is issued by ministry of MSME and not NSIC	This clause remains same in accordance with the Tender
2	Page 23	Point 4. (Eligibility Criteria)	The Bidder should have a minimum financial turnover of INR 1.5 Crore and positive net worth for each year in the last three years financial year 2018-19, 2019-2020 and 2020-21.	Please allow to submit turnover certificates for 2017-18, 2018-19, 2019-20. The 2020-21 turnover certificate is in process as last date has been extended till December 2021 by GoI	Refer to **Sr. No** 1 of corrigendum.
3	Page 25; A. Bidder's experience in Auditing	Point 1	End to end IS Audit of Core Banking Application in Scheduled Commercial Bank/ PSU / RRB in India	We request you to amend the clause as "End to End IS Audit of Core Banking Application in Scheduled Commercial Bank/ PSU / RRB in India **and/or audit of CBS modules/ functionalities."** Also, please include any of IS audit/ Network audit/ Risk assessment etc in this clause as well. As per eligibility criteria point 6, bidder can share expertise in any 3 out of 5 areas. Whereas, it is asked for CBS only as per this clause	Refer to **Sr. No** 2 of corrigendum.
4	Page 25; A. Bidder's experience in Auditing	Point 1	End to end IS Audit of Core Banking Application in Scheduled Commercial Bank/ PSU / RRB in India	Request you to remove capping on number of branches as 150 +	This clause remains same in accordance with the Tender

5	Page 26, section 4.32	A. Scoring Matrix, Point 3	The bidder's Audit team shallconsist of minimum 5 permanentexperts/ Certified resource having minimum 2 years' experience in: - a). ACA/FCA b). CISA c). CISSP/ CISM d). CCNA/ CCNP/ CCSP e). CEH	Request you to put ACA/ FCA as optional and include OSCP certificate in the list as ACA/ FCA certificate is not related to security audit.	This clause remains same in accordance with the Tender
6	Page no 23	The bidder shall be CERT-In Empaneled organization from at least past 3years and its current empanelment should be valid/not expired.	Cert-in Document empanelment evidence of the same to be enclosed	To allow bidder participation of companies, request you to modify the condition as follows: The bidder shall be CERT-In Empaneledorganization its current empanelment should be valid/not expired till October 31, 2023	Refer to **Sr. No 3** of corrigendum.
7	Page no 25 Sl no 1	End to end IS Audit of Core Banking Application in Scheduled Commercial Bank/ PSU / RRB in IndiaAudit of each Bank with at least150+ Branches will carry 5 Marks	Copy of the Credential Letter or Copy of Purchase order from the client's executive and an Undertaking from the bidder on the bidder's letter head confirming the implementation along with the contact details of client's representative.	We have already conducted in Mizoram Rural Bank, mugberia central co-operative bankUndergoing Kalupur Co-operative bank and Utkarsh Small finance bank	This clause remains same in accordance with the Tender
8	23	4.31- Evaluation of Eligibility Criteria	The Bidder should have a minimumfinancial turnover of INR 1.5 Crore andpositive net worth for each year in thelast three years financial year 2018-19,2019-2020 and 2020-21.	As per guidelines issued by Ministry for MSME, criteria of prior turnover should be exempted for MSME registered bidders. Request you to kindly extend the exemption to bidders with valid MSME certificate	Refer to **Sr. No**4 of corrigendum.
9	Page 23 / Section II: Instructions for Bid Submission	Clause 4.31, Point 6	Copy of letter of assignment & certification of satisfactory completion of assignment to be submitted from respective Banks	In case of no certification from the client, we would request you to clarify whether self-attestation can be produced along with other relevant	Refer to **Sr. No**5 of corrigendum.

			documents such PO/WO/ Engagement Letters etc.	
10	Page 26 / Section II: Instructions for Bid Submission	Clause 4.32, Point B.3	Copy of letter of assignment & certification of satisfactorycompletion of assignment to be submitted from respective Banks	In case of no certification from the client, we would request you to clarify whether self-attestation can be produced along with other relevant documents such PO/WO/ Engagement Letters etc.	Refer to **Sr. No**6 of corrigendum.
11	Page 36 / Section III – Details of Scope	Clause 5.2	Location of audit will be Noida, Mumbai, Delhi, Haldwani& Nainital. Site/ locations of Outsourced vendors will be provided separately to interested/ selected bidder.	Given the ever-evolving situation with respect to Covid cases and the restrictions imposed by various governments, we request you to let us know if the delivery teams need to visit each location for the assessment or can we perform some of the centers remotely, considering the pandemic scenario. Request you to also clarify the deployment method expected for the execution of the assessment.	This clause remains same in accordance with the Tender
12	Page 36 / Section III – Details of Scope	Clause 5.2	Selected vendor has to submit the copy of license of the tool to be used for VA/ PT.	Since fresh licenses are sourced for every tool just prior to the start of activity, we request you to let us know if we can just submit the details of tool(s) to be used for VA/ PT including name of the tool.	This clause remains same in accordance with the Tender
13	Page 37 / Section III – Details of Scope	Clause 5.3	Project Scope: 1) Application Audit: Complete review of applications and security audit of all major applications including Finacle 10.x application and Delivery Channels i.e., Internet Banking, Debit Cards, UPI, IMPS, RTGS/ NEFT, Financial Inclusion etc. (Approximate 25	We request you to let us the approximate number of static and dynamic pages per application for better visibility at effort estimation.	This will be discussed with successful bidder

			applications)		
14	Page 37 / Section III – Details of Scope	Clause 5.3	Project Scope: 3) Network / Cyber Security Audit: - Network Infrastructure and Security Audit of entire Network infrastructure. The identified vendor will conduct Vulnerability Assessment (VA) of network infrastructure components to identify services in use and potential vulnerabilities present	1. We request you to let us the number of servers, network devices, end points, internal and external IPs as part of the Network Infrastructure along with the physical location from which they would be accessible/assessment would be performed. This would help in a realistic effort estimation along we deriving the project plan. 2. We request you to let us know if Penetration Testing would be a part of the given scope of work or if it would be restricted to VA.	1. Details requested: No. of servers=41 Physical Server and 250 approx. virtual Server are present in DC, NDR, DR No. of network devices=70 Approx. Location: PMO, Haldwani 2. Penetration Testing is part of the project
15	Page 37 / Section III – Details of Scope	Clause 5.3	Project Scope: 1) Application Audit: ... 3) Network / Cyber Security Audit: …	It is recommended to include one time revalidation activity for both the scope items (AppSec and Network VAPT) to get status check on the vulnerability closure compliance post the patching activity.	This clause remains same in accordance with the Tender
16	Page 36 / Section III – Details of Scope	Clause 5.1	Project Scope: Overview of Scope- The overall scope of Information Systems audit and Comprehensive Audit of CBS Project & Other Applications will largely include the following: ▪ The Auditors shall understand the current IT Setup/ processes involved in the Bank and the industry prevailing standards and Regulatory guidelines. • Audit of IT Governance evaluating the Banks strategic and operational alignment with its enterprise's business strategy, ensuring that IT is	1. We request you to let us the number of servers, network devices, end points, internal and external IPs as part of the Network Infrastructure along with the physical location from which they would be accessible/assessment would be performed. This would help in a realistic effort estimation along we deriving the project plan. 2. We request you to let us know if Penetration Testing would be a part of the given scope of work or if it would be restricted to	Vulnerability Assessment of servers will include Operating System and Database Management Systems. Bank has OS including Windows, Linux and RDBMS including Oracle and MS SQL Server.

			supporting the Bank's overall goals. Page-36 THE NAINITAL BANK LTD. Tender Ref.No. NTB/CIAD/IS/2021/10/012 • IS Audit shall cover entire gamut of computerized function including electronic delivery channels such as Internet Banking, Debit Cards, UPI, IMPS, RTGS/ NEFT, Financial Inclusion etc., robustness of different function, such as application system and subsystems, architecture, infrastructure, network, Logical access control, input, Change Management, processing and output controls, procedures, data integrity/ Efficiencyand effectiveness in implementation of Bank's Information/ IT Security Policy & procedures. This shall include any other new addition/ upgradation in hardware, software, business application, new deliverables, change in architecture/ information systems audit and Security Audit during the contract period at Data Centre, DR site and Near-DR, Treasury Department.	VA.	
17	Page Number 23	4.31. Evaluation of Eligibility Criteria	The Bidder should have a minimum of 10 certification for pool of resources who possess qualifications such as: CISA / CISSP / CCNA/ CISM / OSCP	Documentary Proof to be attached	This clause remains same in accordance with the Tender
18	Page Number 36	5.2. Locations for audit:	Site/ locations of Outsourced vendors will be provided separately to interested/ selected bidder.	We request you to please confirm the location and Numbers of Vendors	This will be discussed with successful bidder
19	Page Number 37	Project Scope: 2) DC/ DRC/ NDR Audit	Thorough Audit of Bank's Data Centre (DC) and Near Site at Noida, Disaster Recovery Centre (DRC) at	Request you to please brief scope of work in Delhi, Haldwani and Nainital	This will be discussed with successful bidder

			Mumbai.		
20	Page no 23	Eligibility Criteria	The Bidder should have a minimum of 10 certification for pool of resources who possess qualifications such as: CISA /CISSP / CCNA/ CISM / OSCP	The Bidder should have a minimum of 10 certification for pool of resources Who possess qualifications such as: CISA /DISA/CISSP / CCNA/ CISM / OSCP. Also at least 1 partner is required to have CISA qualification.	Refer to **Sr. No**7 of corrigendum.
21	Page no 26	A. Bidder's experience in Auditing	3.The bidder's Audit team shall consist of minimum 5 permanent experts/ Certified resource having minimum 2 years' experience in: - a). ACA/FCA b). CISA c). CISSP/ CISM d). CCNA/ CCNP/ CCSP e). CEH At least one auditor from each of the above 5 fields will get 2 Marks	The bidder's Audit team shall consist of minimum 5 permanent experts/ Certified resource having minimum 2 years' experience in: - a). ACA/FCA b). CISA/DISA c). CISSP/ CISM d). CCNA/ CCNP/ CCSP e). CEH At least one auditor from each of the above 5 fields will get 2 Marks	Refer to **Sr. No**8 of corrigendum.