

सूचना प्रणाली की लेखा-परीक्षा हेतु
प्रस्ताव का आमंत्रण
वित्तीय वर्ष 2018



भारतीय लघु उद्योग विकास बैंक
लेखा-परीक्षा वर्टिकल
4था तल, सिडबी टावर
15, अशोक मार्ग
लखनऊ- 226001
वेबसाइट-www.sidbi.in

निविदा सं. 314/2018/1322/प्रका1/आलेप दिनांक 27 March 2018

इस निविदा दस्तावेज के उत्तर में बोलीकर्ता से प्राप्त सूचना सिडबी की संपत्ति हो जाएगी और वापस नहीं की जाएगी। सिडबी को इस निविदा दस्तावेज को संशोधित करने, रद्द करने और दुबारा जारी करने का अधिकार है। निविदा दस्तावेज तथा सभी संशोधनों से बोलीकर्ताओं को अवगत कराया जाएगा तथा उक्त संशोधन बोलीकर्ताओं के लिए बाध्यकारी होंगे।

(इस दस्तावेज का आंशिक अथवा पूर्णतः किसी भी रूप में, पुनः उपयोग अथवा प्रतिलिपिकरण अथवा उपयोग न किया जाए)



REQUEST for PROPOSAL (RfP) for INFORMATION SYSTEMS AUDIT FY 2018

भारतीय लघु उद्योग विकास बैंक

Small Industries Development Bank of India

Audit Vertical

4th FLOOR, SIDBI TOWER,

15, ASHOK MARG,

LUCKNOW - 226001

Website : www.sidbi.in



Tender No 314/2018/1322/HO1/IAD Dated March 27, 2018

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महत्त्वपूर्ण जानकारी का सारांश

- 1) प्रस्ताव का आमंत्रण सिडबी की वेबसाइट www.sidbi.in पर दिया गया है। सिडबी को लेखा-परीक्षा की अपेक्षाओं में परिवर्तन का अधिकार है। किन्तु ऐसे किसी भी परिवर्तन की जानकारी वेबसाइट पर दी जाएगी।
- 2) बोलीकर्ताओं को सूचित किया जाता है कि निविदा दस्तावेज़ का ध्यानपूर्वक अध्ययन कर लें। बोली प्रस्तुत करने पर यह माना जाएगा कि निविदा दस्तावेज़ को ध्यान से देख लिया गया है और उसके निहितार्थों को भली भाँति समझ लिया गया है।
- 3) बोलीकर्ता से प्राप्त समस्त स्पष्टीकरण अथवा अपेक्षा में किसी परिवर्तन की जानकारी सिडबी की वेबसाइट पर दी जाएगी। अतः बोली प्रस्तुत करने से पहले बोलीकर्ता को यह अवश्य सुनिश्चित कर लेना चाहिए कि ऐसे स्पष्टीकरणों/ परिवर्तनों पर उन्होंने विचार कर लिया है। किसी बोलीकर्ता द्वारा चूक किए जाने पर सिडबी की कोई जिम्मेदारी नहीं होगी।
- 4) बोलियों की जाँच, आकलन और तुलना में सिडबी को जैसी भी मदद की आवश्यकता होगी, उसके लिए वह अपने विवेकानुसार बोलीकर्ता से स्पष्टीकरण का अनुरोध कर सकता है। उत्तर/स्पष्टीकरण लिखित में दिए जाएँगे और बोली के पदार्थ-मूल्य में कोई परिवर्तन करने के लिए न कहा जाएगा, न प्रस्तावित किया जाएगा और न ही उसकी अनुमति दी जाएगी।
- 5) कृपया ध्यान दें कि बोली दस्तावेज़ के लिए अपेक्षित समस्त सूचना का दिया जाना आवश्यक है। इन विषयों पर अपूर्ण जानकारी देने पर चयन से वंचित रहना पड़ सकता है।
- 6) **बोली में संशोधन और/अथवा वापस लिया जाना**
एक बार प्रस्तुत की गई बोली को अंतिम माना जाएगा और उसके पश्चात् किसी पत्राचार पर विचार नहीं किया जाएगा। बोली प्रस्तुतीकरण की अंतिम समय-सीमा समाप्त हो जाने पर किसी भी बोली में संशोधन नहीं किया जाएगा। यदि कोई बोलीकर्ता सफल बोलीकर्ता हो तो उस बोलीकर्ता को बोली वापस लेने की अनुमति नहीं होगी।
- 7) प्राप्त हुई किसी अथवा सभी निविदाओं को बिना कोई कारण बताए अस्वीकार करने का अधिकार सिडबी को है।

टिप्पणी:

किसी भी कारण से बोली दस्तावेज़ के प्राप्त न होने/ गैर-सुपुर्दगी के लिए सिडबी की कोई जिम्मेदारी नहीं होगी।



Critical Information Summary

- 1) The RfP is posted on SIDBI website www.sidbi.in. SIDBI reserves the right to change the contents of RfP. However, any such changes will be posted on web site.
- 2) Bidders are advised to study the tender document carefully. Submission of bids shall be deemed to have been done after careful study and examination of the tender document with full understanding of its implications.
- 3) Any clarifications from bidder or any change in requirement will be posted on SIDBI website. Hence, before submitting bids, bidder must ensure that such clarifications / changes have been considered by them. SIDBI will not have any responsibility in case some omission is done by any bidder.
- 4) In case of any clarification required by SIDBI to assist in the examination, evaluation and comparison of bids, SIDBI may, at its discretion, ask the bidder for clarification. The response / Clarification shall be in writing and no change in the price of substance of the bid shall be sought, offered or permitted.
- 5) Please note that all the information required as per the bidding document needs to be provided. Incomplete information in these areas may lead to non-selection.
- 6) **Modification And/ Or Withdrawal of Bids:**
Bids once submitted will be treated as final and no further correspondence will be entertained. No bid shall be modified after the deadline for submission of bids. No bidder shall be allowed to withdraw the bid, if bidder happens to be the successful bidder.
- 7) SIDBI has the right to reject any or all bids received without assigning any reason whatsoever.

NOTE:

SIDBI SHALL NOT BE RESPONSIBLE FOR NON-RECEIPT / NON-DELIVERY OF THE BID DOCUMENTS DUE TO ANY REASON, WHATSOEVER.



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Schedule of events :

Sr. No.	Bid Reference - 314/2018/1322/HO1/IAD Dated March 27, 2018		
1	Purpose	Information Systems Audit - FY 2018	
2	Cost of Tender	₹ 500/-	
3	EMD	₹ 20,000/- To be submitted as Demand Draft in favour of SIDBI, payable at Lucknow. The above 2 amounts can be paid by a single DD for ₹20,500/-	
4	No. of Envelopes (Non window, sealed) to be submitted	Two (2) Envelopes Envelope 1 containing: 1. Technical Bids as per Annexure I. (Submit 1 hard copy and 1 soft copy in CD / pen drive) 2. DD towards cost of tender & EMD. 3. Bank mandate form as per Annexure VII. Envelope 2 containing: Commercial Bid as per Annexure II (Only one bid to be kept).	
5	Last Date of Submission of Bids	April 23, 2018 by 3:00 pm	
6	Venue, Date and Time of opening of Bids, except Commercial Bids.	At 4:30 PM, on last date of bid submission, at the address given at Sr. No. 10.	
7	Pre-bid meeting	April 06, 2018 at 3.00 PM	
8	Response to clarification / pre bid meeting to be put on web site	April 13, 2018	
9	Bid Validity	90 days from the last date of submission.	
10	Address for submission of Bids	The General Manager Audit Vertical SIDBI, 4th Floor SIDBI TOWER, 15, ASHOK MARG, LUCKNOW - 226001 Ph : 0522-2288546-50 Fax: (0522)2288457	
11	Contact Persons		
	Name & Designation	Phone	E-mail
	M K Gupta, AGM (Systems) R K Agrawal, GM	0522-4259700 0522-2288461, 4259719	mkgupta@sidbi.in rkagrawal@sidbi.in



1. Introduction and Disclaimers

1.1. Purpose of RfP

The purpose of RfP is to short list Auditor for conducting Information Systems (IS) Audit for IT Control Review based on 1) Minimum Eligibility Criteria 2) Technical bid and 3) Commercial bid.

1.2. Information Provided

The Request for Proposal document contains statements derived from information that is believed to be relevant at the date but does not purport to provide all of the information that may be necessary or desirable to enable an intending contracting party to determine whether or not to enter into a contract or arrangement with SIDBI. Neither SIDBI nor any of its employees, agents, contractors, or advisers gives any representation or warranty, express or implied, as to the accuracy or completeness of any information or statement given or made in this document. Neither SIDBI nor any of its employees, agents, contractors, or advisers has carried out or will carry out an independent audit or verification exercise in relation to the contents of any part of the document.

1.3. Disclaimer

Subject to any law to the contrary, and to the maximum extent permitted by law, SIDBI and its officers, employees, contractors, agents, and advisers disclaim all liability from any loss or damage (whether foreseeable or not) suffered by any person acting on or refraining from acting because of any information including forecasts, statements, estimates, or projections contained in this RfP document or conduct ancillary to it whether or not the loss or damage arises in connection with any negligence, omission, default, lack of care or misrepresentation on the part of SIDBI or any of its officers, employees, contractors, agents, or advisers.

1.4. Costs to be borne by Respondents

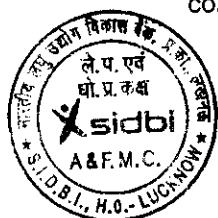
All costs and expenses incurred by Respondents in any way associated with the development, preparation and submission of responses including but not limited to; the attendance at meetings, discussions, demonstrations, etc. and providing any additional information required by SIDBI, will be borne entirely and exclusively by the Respondent.

1.5. No Legal Relationship

No binding legal relationship will exist between any of the Respondents and SIDBI until execution of a contractual agreement.

1.6. Recipient Obligation to Inform Itself

The Recipient must conduct its own investigation and analysis regarding any information contained in the RfP document and the meaning and impact of that information.



1.7. Evaluation of Offers

Each Recipient acknowledges and accepts that SIDBI may in its absolute discretion apply selection criteria specified in the document for evaluation of proposals for short listing / selecting the eligible Audit firm(s). The RfP document will not form part of any contract or arrangement, which may result from the issue of this document or any investigation or review, carried out by a Recipient.

1.8. Errors and Omissions

Each Recipient should notify SIDBI of any error, omission, or discrepancy found in this RfP document.

1.9. Acceptance of Terms

A recipient will, by responding to SIDBI for RfP, be deemed to have accepted the terms of this Introduction and Disclaimer.

1.10. Lodgment of RfP

1.10.1. RfP submission:

RfP document submission is required to be done in two envelopes as under:-

Two (2) Envelopes

Envelope 1 containing:

Technical Bids as per Annexure I (1 hard copy and 1 soft copy (Of Technical Bids only) on CD / pen drive)
DD towards cost of tender & EMD.
Bank Mandate form Annexure VII.

Envelope 2 containing:

Commercial Bid as per Annexure II. (Only one bid to be kept).

at the following address.

The General Manager,
Audit Vertical,
SIDBI, 4th Floor, SIDBI TOWER,
15, ASHOK MARG,
LUCKNOW – 226001.

Ph : 0522-2288546-50 0522-2288461, 4259719

Copies of the RfP must be submitted before the aforementioned closing date and time mentioned in Critical Information Summary.

Faxed copies of any submission are not acceptable and will be rejected by the Bank.

All copies of RfP and attachments must be provided in a sealed envelope.



If the submission does not include all the information required or is incomplete, the proposal is liable to be rejected.

All submissions, including any accompanying documents, will become the property of SIDBI. Recipients shall be deemed to license, and grant all rights to SIDBI to reproduce the whole or any portion of their submission for the purpose of evaluation, to disclose the contents of the submission to other Recipients and to disclose and/or use the contents of the submission as the basis for processing of RfP, notwithstanding any copyright or other intellectual property right that may subsist in the submission or accompanying documents.

1.10.2. RfP Validity Period

The proposal must remain valid and open for evaluation according to their terms for a period of at least 90 days from the time the RfP closes on the deadline for lodgment of RfP.

1.11. Request for Proposal

Recipients are required to direct all communications related to this RfP, through the Nominated Point of Contact person:

Contact : Shri. M K Gupta
Position : Assistant General Manager (Systems)
Email : mkgupta@sidbi.in
Telephone : +91 - 0522-4259758

SIDBI will not answer any communication initiated by Respondents later than five business days prior to the due date for lodgment of RfP. However, SIDBI may, in its absolute discretion, seek additional information or material from any Respondents after the RfP closes and all such information and material provided must be taken to form part of that Respondent's response.

Respondents should provide details of their Fax, email and full address(s) to ensure that replies to RfP could be conveyed promptly.

If SIDBI, in its absolute discretion, deems that the originator of the question will gain an advantage by a response to a question, then SIDBI reserves the right to communicate such response to all Respondents.

SIDBI may, in its absolute discretion, engage in discussion or negotiation with any Respondent (or simultaneously with more than one Respondent) after the RfP closes to improve or clarify any response.

1.12. Notification

SIDBI will notify all short-listed Respondents in writing as soon as practicable about the outcome of their RfP. SIDBI is not obliged to provide any reasons for any such acceptance or rejection.



1.13. Disqualification

Any form of canvassing/lobbying/influence/query regarding short listing, status, etc. will be a disqualification.



2. Background

2.1. About SIDBI

SIDBI was established on April 2, 1990 under The Small Industries Development Bank of India Act, 1989 with an aim to be "the principal financial institution for the promotion, financing and development of industry in the small scale sector and to co-ordinate the functions of the institutions engaged in the promotion and financing or developing industry in the small scale sector and for matters connected therewith or incidental thereto".

SIDBI is catering to MSME sector on pan India basis and is having Head Office at Lucknow, Head Office (HO) Departments at Mumbai and New Delhi, Regional Offices (RO) at 09 locations and Branches (BO) at 80 locations. The employee strength as on March 31, 2017 was 1173.

Financial support to MSMEs is provided by way of (a) indirect finance / refinance to eligible Primary Lending Institutions (PLIs), such as, banks, State Financial Corporations (SFCs), etc. for onward lending to MSMEs and (b) direct assistance in the niche areas like risk capital/equity, sustainable finance, receivable financing, service sector financing, cluster specific financial products, schemes and processes, funding for MSME infrastructure and funding for marketing activities.

Detailed information on the functions of the bank is also provided on the website, www.sidbi.in.

2.2. Present IT setup:

SIDBI has its Datacenter at Mumbai and DR Site at Chennai. All the applications are hosted at Datacenter and the same are accessed over MPLS VPN. In the event of failure of Datacenter, DR Site is activated. The Information Technology Vertical (ITV) is located at Mumbai.

All BOs are connected to the DC through MPLS VPN based WAN with RF/3G/CDMA as backup. These offices use Citrix client and browser (IE) to connect to the DC at Mumbai and access the application software hosted on application servers (Citrix XenApp & Web Servers).

DC is having around 148 equipment's (servers [Physical / Virtual] / Storage / Chasis / enclosures). Office 365 is being used as the email Messaging system for all the offices of SIDBI. Some of the application software implemented at SIDBI are Core Banking Solution (Flexcube), Direct Finance System, Refinance System, Bills Finance System, Payroll etc. In addition, there are corporate level application software, being used only at Head Office Mumbai. The Bank has



also set up of Disaster Recovery Site at Chennai having around 55 (servers [Physical / Virtual] / Storage / Chasis / enclosures).

The application development, maintenance and support is done in-house or outsourced on need basis. Most of the legacy applications have been developed (or ported to) in Oracle forms 6i (Client-Server mode) and are being used with oracle 11g database. Few applications have been developed on Java platform. SIDBI has also purchased and implemented software for some specific operations. Also some software have been developed using IBM Domino. Bank has implemented the Biometric Authentication System (BAS) for internal users.

IT Security Policy [ITSP] and Information Technology Procedure Manual [ITPM] is already in place for SIDBI, which forms the basis of day to day IT Operations.

3. Requirements

3.1. Objective

SIDBI plans to carry out following Information Systems (IS) Audit by outsourcing:

IS Audit FY 2018 comprising of

Project 1: IS Audit – Application Software Audit (ASA)

Project 2: IS Audit – IT Control Review (ITCR)

Project 3: IS Audit – Network & Security Audit (N&SA)

Project 4: Verification of all the compliances.

Project	Area to be covered	Locations
1	Application Software Audit (ASA)	Mumbai , Lucknow
2	IT Control Review (ITCR) (for 2 locations)	Mumbai, Chennai
3	Network and Security Audit (NSA) (for 2 locations)	Data Centre at Mumbai, DR site at Chennai
4	Verification of all compliances for the above projects.	Mumbai, Chennai, Lucknow.

The detailed scope of work, terms and conditions, bid format etc. are part of this document. Accordingly, SIDBI invites proposal in two separate envelopes (One for technical bid and other for commercial bid) for the above projects. The audit firms having required competency to perform the above project may submit the bid.



The audit firm will be required to submit technical bid [Annexure I page 33-41] and commercial bid quotation [Annexure II page 42] in separate envelopes for the audit exercise. The selected audit firm will be awarded the audit exercises as per RfP.

1. Mumbai location includes: Mumbai Office, Mumbai Regional Office, and Bandra Kurla Complex Branch Office. All offices are located in one building at MSME Development Centre, Plot No. C-11, 'G' Block, Bandra Kurla Complex, Bandra (East), Mumbai – 400 051.
2. Chennai location includes: Chennai DR Site, Chennai Regional Office and Chennai Branch Office. All offices are located in one building at Overseas Towers, Door No.756 L, Opp. TVS, Anna Salai, Chennai – 600 002.
3. Lucknow location: SIDBI TOWER,15, ASHOK MARG, LUCKNOW - 226001

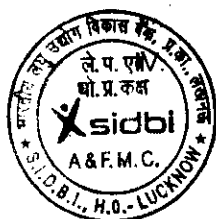
3.2. Scope

The scope of the proposed audit exercise is as given below:

3.2.1. Scope of Application Software Audit (ASA)

- I. The Application Software Audit shall involve assessment of compliance with specifications, standards, contractual agreements, systems manual and users manual, change management procedures, user training, user feedback, critical evaluation of confidentiality, integrity and availability of the applications and their interfaces which are under the purview of the audit.
- II. Functional review of application software shall include
 - a. Functionality implemented vis-à-vis the Bank's requirements,
 - b. Input, processing and output controls across various schemes
 - c. Accuracy, adequacy and integrity of data in reports and MIS
 - d. Accuracy and effectiveness of audit logs
 - e. Adherence of reporting to statutory requirements
 - f. Automated batch processing, scheduled tasks, critical calculations etc
 - g. End of Day, Start of Day, period closure operations including End of Month, End of Quarter and End of Year operations
- III. Application security review of application software shall include
 - a. Controls for performing parameter setup of functionality across applications.
 - b. Segregation of duties.
 - c. Logical Access Controls to different functions automated processing, view/generation of reports, logs.
 - d. Process of customization and controls during Software Development Life Cycle (SDLC).
 - e. Controls in place for migration of changes from testing to production environment.
 - f. Password policy and implementation.
 - g. Database security controls.
 - h. Operating system security Controls.

Software audit of following applications are to be carried out.



1. Bills Finance System
 2. Payment and Collection System (PnC)
 3. RTI System
 4. Payroll Software
 5. Terminal Benefit System and
 6. Electronic Meeting Software.
- Details of the above Applications is given in Annexure III

The focus of the audit exercise will be on configuration, deployment, administration, access control, User id, Password management, performance tuning, Service pack / patch update, logging and back up, business continuity and security aspects.

3.2.2. Scope of IT Control Review (ITCR)

Sr. No.	Activity	Mumbai	Chennai DR Site
1	IT Management	Y	N
2	Branch IT Management Issues	N	Y
3	Departmental setup	Y	N
4	IT Purchase	Y	N
5	Review of AMC and Facility Management Services, Help Desk	Y	Y
6	Physical access and Environmental controls	Y	Y
7	In house Application development, maintenance, application roll out and training.	Y	N
8	Outsourced development / purchase of application software	Y	N
9	Change Management Procedure	Y	N
10	Review of IT Infrastructure operations - Hardware, IT Asset Management	Y	Y
11	Risk assessment of IT Infrastructure	Y	Y
12	User id / password management and Logical access controls	Y	Y
13	Backup Procedure wherever applicable	Y	Y
14	Antivirus Measures	Y	N
15	End User Computing wherever applicable	Y	Y
16	Call logging in DC Support, Problem escalation, resolution	Y	Y
17	WAN Management and Network Administration – Issues at branch level	N	Y
18	Audit of backup process	Y	Y

Y : Indicates 'Applicable' N: Indicates ' Not Applicable'

- A detailed risk assessment of the IT infrastructure at Mumbai and Chennai is to be carried out.
- The risk assessment process should include identification and classification of potential threats and vulnerabilities, quantify loss exposures based on estimated frequencies.
- Recommendations on allocation of resources to mitigate risk involved so as to minimize total exposure.
- A draft report on the risk assessment including risk mitigation measures is to be submitted for review by SIDBI and acceptance.



3.2.3. Scope of Network and Security Audit (N&SA):

Sr. No.	Activity	Mumbai	Chennai DR Site
1	Network issues – Performance monitoring of routers (CPU, Memory etc.), Latency measurement, CoS Implementation checking, Availability of Backup link, Network Availability, Capacity / Bandwidth utilization, Security – Encryption of data and physical security, Network documentation, Internet usage policy. Review the need for the stand by router at MDC and the DR site.	Y	N
2	Network monitoring, Bandwidth utilization and monitoring, Firewall Policy, Squid Proxy Server.	Y	N
3	Review of the configuration, administration, hardening, regular backups of Citrix servers. Review of the controls with respect to the application software patch management.	Y	N
4	Review of Lotus Notes Administration, backup and hardening including patch management of Lotus Notes software. Review of the DR setup for the Lotus Notes.	Y	N
5	Review of hardening of Internet and SIDBI Website including the regular backup of the files and the configuration.	Y	N
6	Review of hardening, administration, analysis of logs and backup of Oracle databases including database level patches issued by Oracle. Review of the configuration document of the Oracle database, RMAN, ASM and Dataguard.	Y	Y
7	Review of the hardening of the Active Directory services and regular backup of the configuration.	Y	Y
8	Review of Enterprise backup system, backup policies including frequency of the backups, review of the backup documentation, day to day backup operations and keeping of the backup tapes in offsite locations.	Y	Y
9	<p>Review of the hardening of Unix servers (AIX, HP Ux, Solaris, Citrix Xen and Linux), Windows 2003 / 2008 Servers including the Virtual servers running the Windows OS, Routers, Firewalls Ironport, switches (both Layer 2 and Layer 3), SAN Storage systems and web servers.</p> <p>Core activities to be reviewed are</p> <ol style="list-style-type: none"> 1. Logical controls including password controls, user accounts in each server, handling of the passwords of the administrator level users, documentation of the people in the possession of such user ids. 2. Services and daemons - Review of unnecessary / insecure services and daemons such as telnet, ftp, rlogin, rcp, tftp, rexec etc. in each server / device. 3. Logging and auditing - Review of the analysis of the server audit logs and resolution of the issues. 4. Review of the application of the OS patches issued by the vendors from time to time. 5. Review of the implementation of the host based firewalls at the OS level, if provided by the respective vendor and review of the restrictions of direct access to the database servers and Xen servers from all client PCs. 	Y	Y



Sr. No.	Activity	Mumbai	Chennai DR Site
	6. Hardening of the ILO ports including the restriction of the access to such ports from all PCs. 7. Review of the Antivirus (AV) engines used and the updation of the AV patches. 8. Review of the failover configuration / setup of all database, SAN, application servers (RAID configuration, network etc.).		
10	Review of middleware servers like (Websphere Portal Server, Oracle Application Server, MQ Series, Websphere Application Server, BO hosting reports, Tivoli Directory Services, Apache Server, etc.)	Y	N
11	Review of EMS Tools Server.	Y	N
12	Review of Security Audit of NDS System (RBI).	Y	N
13	Disaster Recovery Plan & effectiveness.	Y	Y
14	Vulnerability Analysis (VA) and Penetration Testing (PT) a. External network vulnerability analysis and Penetration Testing needs to be carried out for all servers and security devices. b. Penetration testing for enterprise intranet is to be carried out.	Y	N
15	Vulnerability Analysis (VA) and Penetration Testing (PT) for following web application/domain name is to be carried out and the following common vulnerabilities should be checked: - IP Spoofing - Buffer overflows - Session hijacks - Account spoofing - Frame spoofing - D-DoS attacks - Caching of web pages - Cross-site scripting - Cookie handling A separate report to be submitted for each of the following web application and websites <u>Web application</u> 1. https://mail.sidbi.in 2. https://drmail.sidbi.in 3. https://css.sidbi.in 4. https://onlineloanappl.sidbi.in 5. https://mobileapp.sidbi.in 6. https://mobileapp.sidbi.in/pushNotification 7. https://epay.sidbi.in/SIDBI_websevice/SIDBI_api.php 8. https://retbs.sidbi.in/RetiredEmployeeHRMS/UserLogin 9. https://fofapplication.sidbi.in 10. https://Fdappl.sidbi.in 11. https://mobile.sidbi.in 12. https://bams.sidbi.in/BoardDesk 13. https://mobileapp.sidbi.in:444/sidbi-api 14. https://mobileapp.sidbi.in:444/pushNotification 15. https://eagenda.sidbi.in 16. One mobile app regarding customer site visit	Y	N



Sr. No.	Activity	Mumbai	Chennai DR Site
	<u>Websites</u>		
1	https://sidbi.in/		
2	https://smallb.sidbi.in/		
3	https://venturefund.sidbi.in/		
4	https://www.standupmitra.in/		
5	https://www.udyamimitra.in/		
6	https://www.sidbistartupmitra.in/		

Y : Indicates 'Applicable' N: Indicates 'Not Applicable'

Location wise list of Servers and Network Equipments is given in Annexure IV.

3.2.4 Verification of all the compliances:

Follow-up activity for the compliances will be carried out by the auditor, and it is expected that after submission of compliance by ITV, audit firm will verify the compliance at SIDBI locations within two weeks of the submission of the compliances.

The focus of the audit exercise will be on configuration, deployment, administration, access control, User id, Password management, performance tuning, Service pack / patch updation, logging and back up, business continuity and security aspects.

3.3. Expected Deliverables

The selected audit firm will be required to submit the following documents after the audit exercise for each location / office, and application software as mentioned below.

Deliverables		
Sr. No.	Audit Projects	Report
1	Application software audit	1. Executive Summary
		2. Audit Report
		3. Check list
		4. Risk assessment report
2	IT Control Review	1. Executive Summary
		2. Audit Report
		3. Check list
		4. Risk assessment report on IT Infrastructure
3	Network & Security Audit	1. Executive Summary
		2. Audit Report
		3. Check list
		4. Risk assessment report
4	Vulnerability & Penetration Testing	VAPT report for each Web Application
5	Verification of all the compliances	Auditors comments / acceptance on all the compliances / report



The audit firm will submit detailed reports on the risk assessment and review of the projects undertaken both at Mumbai and Chennai offices. Two sets of hard copy and soft copy on DVD / CD (in MS Word format) of all audit reports including Executive Summary have to be submitted.

3.4. Terms and conditions

The terms and conditions of the work are given at Section 7. SIDBI reserves the right to modify them, if required, at time of issue of order.

The audit firm must also submit specific suggestions/ recommendations and other detailed steps for enhancing the Facility Management Services, Environmental Controls, Logical Access Controls & End User Computing, based on the best industry practices.

3.5. Time frame of the deliverables

- The selected audit firm will be required to start the project within 15 days from the date of placing the order for the audit.
- The actual audit exercise must be completed within 30 calendar days from date of starting the audit.
- All the draft reports of the agreed deliverables should be submitted by the firm within 60 days of the commencement of the audit. After submission of the draft reports, a meeting with Audit Vertical/ITV officers will be held for discussing and finalizing the reports. The Project Leader along with key members of the audit team involved in the audit should attend the meeting at Mumbai Office.
- The final reports of the deliverables should be submitted by the firm within two weeks of receiving feedback from SIDBI on draft reports.
- The audit, as mentioned above, has to be completed within time frame specified. It is expected that the audit firm may deploy multiple teams to complete the audit projects within given time frame.
- The Audit period including Compliance will be for one year starting from the date of commencement of Audit. **IS auditor will be required to send the final report to Audit Vertical, SIDBI, Lucknow for compliance.**
- **Follow-up activity will be carried out by the auditor, and it is expected that after submission of compliances by ITV, audit firm will verify the compliance at SIDBI locations within two weeks after submission of the compliance.**

4. Selection Criteria

4.1. Tender Methodology

- a) The tender methodology adopted is "Two Bid System" i.e., Technical Bid and Commercial Bid.
- b) The Technical Bid should be placed in a non-window sealed cover super-scribed with "RfP No. ____ **"Technical Bid for IS Audit FY-2018"**.
- c) The envelope containing Technical Bid should also contain One Demand Draft for `20,500/- (Rupees Twenty Thousand Five Hundred Only). [`20,000/- towards EMD (refundable) and `500/- towards Application Fee (Nonrefundable)]



- d) The DD should be drawn in favour of "Small Industries Development Bank of India [SIDBI], payable at Lucknow".
- e) The Commercial Bid should be placed in non-window sealed cover super-scribed with "RfP No. ____", "Commercial Bid for IS Audit FY-2018".
- f) All the covers, thus, prepared should also indicate clearly the Name and Address of the Audit firm.
- g) The bidder shall bear all the costs associated with the preparation and submission of the bid and SIDBI will in no case be responsible or liable for those costs, regardless of the conduct or the outcome of the tendering process.
- h) Bids submitted without EMD and Application Fee Demand Draft will not be considered for evaluation.
- i) Bids sent by fax or e-mail will not be considered for evaluation.
- j) Procurement Policy on Micro and Small Enterprises (MSEs)

i. SIDBI is governed by provisions of the Public Procurement Policy for Micro and Small Enterprises (MSEs) as circulated by The Ministry of MSME, Govt.

ii. These provisions shall be applicable to Micro and Small Enterprises (MSEs) registered with District Industries Centers or Khadi and Village Industries Commission or Khadi and Village Industries Board or Coir Board or National Small Industries Corporation or Directorate of Handicrafts and Handloom or any other body specified by Ministry of Micro, Small and Medium Enterprises (MSMEs).

iii. Such MSEs would be entitled for exemption from furnishing tender fee and earnest money deposit (EMD). In case of any issue on the subject matter, the MSEs may approach the tender inviting authority to resolve their grievances.

iv. Agencies/ Bidders desirous of availing exemptions/ preference under above provisions should submit a copy of proof of Registration as MSEs/ and ownership of the same by SC/ST along with the tender/RFP.

Bidder is required to inform its MSME status as per following definition, if applicable.

Enterprise Category	Manufacturing (Original Investment in P&M)	Services (Original Investment in Equipment)
Micro	Up to ₹ 25 lakh	Up to ₹ 10 lakh
Small	Up to ₹ 500 lakh	Up to ₹ 200 lakh
Medium	Up to ₹ 1000 lakh	Up to ₹ 500 lakh



4.2. Selection process

All bids shall be evaluated by an Evaluation Committee set up for this purpose by the Bank. The evaluation shall be on the basis of Ranking methodology for Technical Evaluation (section 5.3). Arithmetical errors will be rectified on the following basis. If there is a discrepancy between the unit price and the total price that is obtained by multiplying the unit price and quantity, the unit price shall prevail, and the total price shall be corrected. If the Successful Bidder does not accept the correction of the errors, its Bid will be rejected, and its Bid security may be forfeited. If there is a discrepancy between words and figures, the amount in words will prevail.

Phase I : Envelope I containing the technical bids will be opened and bidders meeting the eligibility criteria will be short-listed. The bidders need to explain their understanding of the project clearly in their Technical proposal. All bidders scoring 75 marks or more than 75 marks (in technical criteria) will be selected as the Technically Qualified Bidders. In case, less than three bidders get more than 75 marks in the technical criteria, the top three bidders getting the maximum marks in Technical Capability will be given preference, subject to them getting at least 70 marks.

Phase II : The Commercial Bids for short listed Technically Qualified bidders after Phase I, will be opened. Based L1 cost only, the selection of L1 vendor will be done.

Evaluation process as decided by the Bank will be binding to the bidders.

SIDBI in its sole/absolute discretion can apply whatever criteria deemed appropriate in determining the responsiveness of the proposal submitted by the respondents. SIDBI may reject any / all proposal(s) at any stage without assigning any reason thereof.



5. Technical Bid

Firms meeting the eligibility criteria as described in the following sections will be considered for evaluation.

The Bank reserves the right to change or relax the eligibility criteria to ensure inclusivity.

5.1. Eligibility Criteria

Sr.No	Requirements	Compliance (Yes/No)
1	The bidder should be a government organization/ Public sector unit/ partnership firm / Limited Company/ Private Limited Company having its Registered Office in India. (documentary proof of the same / Certificate of Incorporation / Registration certificate is to be submitted.).	Yes/No
2	Existence in last 5 years and carrying out Information Systems Audit services since then. (Memorandum & Articles of Association should be attached, and evidences confirming year and area of activity.)	Yes/No
3	The bidder should have a minimum turnover of ₹1.5 crore annually, in the past 3 years (2016-17, 2015-16, 2014-15,). (Provide last three years audited Balance sheet and CA certificate) Turnover in crores FY 2016-17 = FY 2015-16 = FY 2014-15 =	Yes/No
4	The bidder should be maintaining / having positive networth and cash profit (i.e. no cash loss) in 2 years out of last 3 years. @ (Provide CA certificate) Networth in crores FY 2016-17 = FY 2015-16 = FY 2014-15 = Cash profit in crores FY 2016-17 = FY 2015-16 = FY 2014-15 =	Yes/No
5	The bidder must warrant that there are no legal actions being taken against it for any cause in any legal jurisdiction. If such an action exists and the bidder considers that it does not affect its ability to deliver the requirements as stated in this RfP, an undertaking specifying the nature of the legal action and the reasons why this shall not affect the bidder's ability to deliver shall be provided. [Letter of undertaking to this effect on company's letter head signed by company's authorized signatory]	Yes/No
6	The Bidder should not have been black-listed by any Public Sector Bank, RBI or IBA or any other Government agencies. Bidder must certify to that effect. [Letter of undertaking to this effect on company's letter head signed by company's authorized signatory]	Yes/No
7	The Bidder must be having on their rolls, on permanent employment basis, a minimum of two (2 nos.) professionals who hold professional	Yes/No



Sr.No	Requirements	Compliance (Yes/No)
	certifications like CISA/ CISM/ CISSP/ CEH)	
8	The bidder must warrant that all team members proposed from the prime bidder organization must be permanent employees on the rolls on the organization. [Letter of undertaking to this effect on company's letter head signed by company's authorized signatory]	Yes/No
9	To ensure audit independence, the bidder should not have provided any IT services, including program management, systems integration, requirements specification, etc., excluding similar IS Audits, either directly, or indirectly through a consortium, in the past three years to SIDBI.	Yes/No
10	Should deploy minimum one CISA qualified person apart from other Technical manpower (CISA/ CISM /CISSP/ BS7799 LA/ ISO27001 LA) qualified professionals (who are regular employees of the firm) for the ITCR, N&SA Audits and application software audit. (Proof of Certification should be attached).	Yes/No
11	Experience of conducting similar IS Audit as proposed by SIDBI. A minimum of 2 audit projects in Public Sector / Private Sector Banks or Public Financial Institutions in India, having centralised Data Centre operations with network, database setup for IT Control review and Network & Security Audit.	Yes/No
12	IS Audit must either be a core activity of the firm or carried out by a regular departmental set up of the firm. [Letter of undertaking to this effect on company's letter head signed by company's authorized signatory]	Yes/No
13	Organisation should be a valid member of Panel of IT Security Auditors empanelled by CERT-In (as per present list) Documentary evidence of the same and letter from Cert-In should be attached / enclosed.	Yes/No
14	The bidder should not have carried out IS Audit of SIDBI for the previous year i.e. IS Audit for FY 2017. [Letter of undertaking to this effect on company's letter head signed by company's authorized signatory]	Yes/No

@- Provide Annual report and CA certificate for last three years mentioning the turnover, net worth and cash profit.

Note: Proposals of bidders who do not fulfil the above criteria or who fail to submit documentary evidence thereon would be rejected.

5.2. Information required for Technical evaluation

Sr. No.	Particulars	Number	Attachment Tag\$\$
1	Number of Information Systems Audit project done for Public Sector / Private Sector Banks or Public Financial Institutions in India. (Certificate to be enclosed for the last 3 years)	No. of End to End application Audit Number: ____	
		No. of VA – PT services towards Internet Banking for banks or Public Financial Institutions in India Number: ____	



Sr. No.	Particulars		Number	Attachment Tag\$\$
2	Total Number of Employees on the payroll of the company		Number: ____	
3	Expertise / Skill Set – Resources should be on the Payroll of the company (CISA / CISSP/ CISM/ CEH certified Professionals)		Number: ____	
4	Approach & methodology			
5	Scope of Audit with Deliverables (More elaborate scope mentioned will be given preference)			
6	Financial Strength of the company. Turnover of company in Crores in past 3 years ending March 31, 2017.	Turnover in crores FY 2016-17 = FY 2015-16 = FY 2014-15 =		
7	Profitability of the Company Net Profit of company in crores in past 3 years ending March 31, 2017.	Net Profit in crores FY 2016-17 = FY 2015-16 = FY 2014-15 =		

Note: Proposals of bidders who do not furnish the above information or who fail to submit documentary evidence thereon would be rejected.

5.3. Ranking methodology for Technical evaluation

Sr. No.	Particulars	Score Criteria	Score	Max score
Experience (45 Marks)				
1	Number of Information Systems Audit project done for Public Sector / Private Sector Banks or Public Financial Institutions in India. (Certificate to be enclosed for the last 3 years)	End to End application Audit > 5	20	20
		End to End application Audit 3 to 5	15	
		End to End application Audit 1 to 2	10	
		VA – PT services towards Internet Banking for at least 2 banks or Public Financial Institutions in India	5	5
2	Total Number of Employees on the payroll of the company	More than 100 Employees	10	10
		Between 50 – 100 Employees	8	
		Below 50 Employees	4	
3	Expertise / Skill Set – Resources should be on the Payroll of the company (CISA / CISSP/ CISM/ CEH certified	Above 10 professionals	10	10
		Between 6 – 10 professionals	8	
		5 professionals	4	



Sr. No.	Particulars	Score Criteria	Score	Max score
	Professionals)			
	Approach & Methodology (55 Marks)			
4	Approach & methodology		20	20
5	Scope of Audit with Deliverables (More elaborate scope mentioned will be given preference)		20	20
6	Financial Strength of the company	Turnover of More Than ₹5 Cr in past 3 years ending March 31, 2017.	10	10
		Turnover Between ₹3 – ₹5 Cr in past 3 years ending March 31, 2017.	5	
		Turnover Between ₹1.5 – ₹3 Cr in past 3 years ending March 31, 2017.	3	
7	Profitability of the Company	Net Profit in the last 3 years ending March 31, 2017.	5	5
		Net Profit in the last 1-2 years ending March 31, 2017.	3	
		Net Profit in 2 years out of last 3 years ending March 31, 2017.	2	
	Total			100

The maximum score in the technical evaluation is 100.

Bidders scoring 75 or more marks will be short listed for Phase II.

In case, less than three bidders get more than 75 marks in the technical evaluation criteria, the top three bidders getting the maximum marks will be short listed, subject to them getting at least 70 marks.



6. Commercial Bid

The commercial Bid should contain the Total project cost, on a fixed cost basis. SIDBI will neither provide nor reimburse expenditure towards any type of accommodation, travel ticket, airfares, train fares, halting expenses, transport, lodging, boarding etc.

The format for the commercial bid is given below:

Name of the Projects	Cost [₹]	Applicable Taxes, [₹]	Total Cost [Inclusive of all taxes, etc] [₹]
IS Audit – FY 2018 (inclusive all fees and expenses)			

Date	Signature of Authorised Signatory -
Place	Name of the Authorised Signatory -
	Designation -
	Name of the Organisation -
	Seal -



7. Terms & Conditions:

7.1. Special Terms & Conditions:

- 1) The audit firm will offer commercial quote for cost plus applicable taxes.
- 2) Payment terms will be as follows:
 - a) 50% on submission of draft Audit reports as per the scope.
 - b) 20% on acceptance and finalisation of all the reports i.e. on completion of all reports.
 - c) 30% on verification of the compliances and submission of closure certificate or one year starting from date of commencement of Audit whichever is later.

TDS will be deducted at source for any payment made by SIDBI, as per applicable provisions of Income Tax Act / Rules.

- 3) SIDBI will neither provide nor reimburse expenditure towards any type of accommodation, travel ticket, airfares, train fares, halting expenses, transport, lodging, boarding etc.
- 4) SIDBI may impose penalty, in case of delay of any deliverables at the rate of 1% per week delay, either for completion of audit exercises or submission of final draft report, subject to a maximum of 5% of the total cost, for all delays attributable directly to the Audit firm.
- 5) The audit firm will not sub contract part or complete assignment to any other agency or individual. In case of such unavoidable circumstances, the audit firm has to take prior written permission from SIDBI for engaging such agency or individual.
- 6) The audit firm shall keep information related to SIDBI confidential and will not divulge to outside agencies without written consent from SIDBI.
- 7) The audit firm upon selection shall sign the declaration as given in the Annexure III, before commencement of the audit.
- 8) No payment will be released until the audit reports are submitted in the required format as given in Annexure VI.



7.2. General Terms and Conditions:

(These terms and conditions are generic in nature, which have been mentioned for the knowledge of the Audit firms and may be changed to specific terms and conditions with necessary changes with each Work Order as and when applicable).

i. Definitions

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

- a) "The Bank " means Small Industries Development Bank of India (SIDBI);
- b) "The Contract" means the agreement entered into between the Bank, represented by its Head Office / Regional Offices and the Supplier of goods and services, as recorded in the Contract Form signed by the parties, including all attachments and appendices thereto and all documents incorporated by reference therein;
- c) "The Contract Price" means the price payable to the Supplier under the Contract for the full and proper performance of its contractual obligations;
- d) "The Goods" means all of the materials which the Supplier is required to supply to the Bank under the Contract;
- e) "The Services" means IT and IT related services, provision of technical assistance, training and other such obligations of the Supplier as applicable under the Contract;
- f) "TCC" means the Terms and Conditions of Contract contained in this section;
- g) "The Supplier" or "the Vendor" or "the Audit Firm" means the individual or firm supplying or intending to supply the Goods and Services under this Contract; and
- h) "The Project Site" means various Head Office/Branches/Administrative offices of Small Industries Development Bank of India.

ii. Use of Contract Documents and Information

The Supplier shall not, without the Bank's prior written consent, disclose the Contract, or furnish any provision thereof, or any specification, plan, drawing, pattern, sample or information, website contents, applications furnished by or on behalf of the Bank in connection therewith, to any person other than a person employed by the Supplier in the performance of the Contract. Disclosure to any such employed person shall be made in confidence and shall extend only so far as may be necessary for purposes of such performance.

The Supplier will treat as confidential all data and information about the Bank, obtained in the execution of his responsibilities, in strict confidence and will not reveal such information to any other party without the prior written approval of the Bank.

iii. Governing language

The Contract shall be written in English. All correspondence and other documents pertaining to the Contract, which are exchanged by the parties, shall be written in English.



The technical documentation involving detailed instruction for operation and maintenance, users' manual etc. is to be delivered with every unit of the equipment supplied. The language of the documentation should be English.

iv. Commercial Terms

All Payments will be made to the Audit firm in Indian rupee only.

The Audit firm must accept the payment terms proposed by the Bank. The financial bid submitted by the Audit firm must be in conformity with the payment terms proposed by the Bank. Any deviation from the proposed payment terms would not be accepted. The Bank shall have the right to withhold any payment due to the Audit firm, in case of delays or defaults on the part of the Audit firm. Such withholding of payment shall not amount to a default on the part of the Bank.

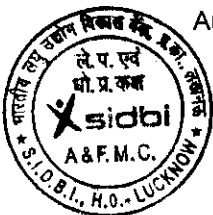
Once a contract price is arrived at, the same must remain firm and must not be subject to escalation during the performance of the contract due to fluctuation in foreign currency, change in the duty/tax structure, changes in costs related to the materials and labour or other components or for any other reason.

v. Applicable laws

The Contract shall be interpreted in accordance with the laws prevalent in India.

Compliance with all applicable laws: The Audit firm shall undertake to observe, adhere to, abide by, comply with and notify the Bank about all laws in force or as are or as made applicable in future, pertaining to or applicable to them, their business, their employees or their obligations towards them and all purposes of this RfP and shall indemnify, keep indemnified, hold harmless, defend and protect the Bank and its employees/ officers/ staff/ personnel/ representatives/ agents from any failure or omission on its part to do so and against all claims or demands of liability and all consequences that may occur or arise for any default or failure on its part to conform or comply with the above and all other statutory obligations arising therefrom.

Compliance in obtaining approvals/ permissions/ licenses: The Audit firm shall promptly and timely obtain all such consents, permissions, approvals, licenses, etc., as may be necessary or required for any of the purposes of this project or for the conduct of their own business under any applicable Law, Government Regulation/Guidelines and shall keep the same valid and in force during the term of the project, and in the event of any failure or omission to do so, shall indemnify, keep indemnified, hold harmless, defend, protect and fully compensate the Bank and its employees/ officers/ staff/ personnel/ representatives/agents from and against all claims or demands of liability and all consequences that may occur or arise for any default or failure on its part to conform or comply with the above and all other statutory obligations arising therefrom and the Bank will give notice of any such claim or demand of liability within reasonable time to the Audit firm.



vi. Patent Rights

In the event of any claim asserted by a third party of infringement of copyright, patent, trademark, industrial design rights, etc. arising from the use of the Goods or any part thereof in India, the Supplier shall act expeditiously to extinguish such claim. If the Supplier fails to comply and the Bank is required to pay compensation to a third party resulting from such infringement, the Supplier shall be responsible for the compensation including all expenses, court costs and lawyer fees. The Bank will give notice to the Supplier of such claim, if it is made, without delay.

vii. Force majeure

If the performance as specified in this order is prevented, restricted, delayed or interfered by reason of fire, explosion, cyclone, floods, war, revolution, acts of public enemies, blockage or embargo, any law, order, proclamation, ordinance, demand or requirements of any Government or authority or representative of any such Government including restrict trade practices or regulations, strikes, shutdowns or labour disputes which are not instigated for the purpose of avoiding obligations herein, or any other circumstances beyond the control of the party affected, then notwithstanding anything here before contained, the party affected shall be excused from its performance to the extent such performance relates to prevention, restriction, delay or interference and provided the party so affected uses its best efforts to remove such cause of non-performance and when removed the party shall continue performance with utmost dispatch.

If a Force Majeure situation arises, the Audit firm shall promptly notify the Bank in writing of such condition, the cause thereof and the change that is necessitated due to the conditions. Until and unless otherwise directed by the Bank in writing, the Audit firm shall continue to perform its obligations under the Contract as far as is reasonably practical, and shall seek all reasonable alternative means for performance not prevented by the Force Majeure event.

viii. Forfeiture of performance security

The bid security [EMD] may be forfeited:

- if a Audit firm withdraws its bid during the period of bid validity specified by the Audit firm on the Bid Form;

Or

- if the successful Audit firm fails to accept the order / sign the Contract Or furnish Performance Guarantee.

The Bank shall be at liberty to set off/adjust the proceeds of the performance security towards the loss, if any, sustained due to the supplier's failure to complete its obligations under the contract. This is without prejudice to the Bank's right to proceed against the Supplier in the event of the security being not enough to fully cover the loss/damage.



ix. Termination

The Bank may at any time terminate the contract by giving written notice to the Audit firm, if the Audit firm becomes bankrupt or otherwise insolvent. In this event, termination will not prejudice or affect any right of action or remedy, which has accrued or will accrue thereafter to the Bank.

The Bank reserves the right to cancel the contract in the event of happening one or more of the following Conditions:

- Failure of the successful Audit firm to accept the contract and furnish the Performance Guarantee within specific days of receipt of purchase contract as stated in the Purchase order;
- Delay in offering services;
- Delay in completing installation / implementation and acceptance tests / checks beyond the specified periods;

In addition to the cancellation of purchase contract, Bank reserves the right to appropriate the damages through encashment of Bid Security / Performance Guarantee given by the Audit firm.

x. Resolution of Disputes

It will be the Bank's endeavor to resolve amicably any disputes or differences that may arise between the Bank and the Audit firm from misconstruing the meaning and operation of the RfP and the breach that may result.

In case of dispute or difference arising between the Bank and the supplier relating to any matter arising out of or connected with this agreement, such disputes or differences shall be settled in accordance with the Arbitration and Conciliation Act, 1996. The Arbitrators shall be chosen by mutual discussion between the Bank and the Supplier OR in case of disagreement each party may appoint an arbitrator and such arbitrators may appoint an Umpire before entering on the reference. The decision of the Umpire shall be final.

The Audit firm shall continue work under the Contract during the arbitration proceedings unless otherwise directed in writing by the Bank or unless the matter is such that the work cannot possibly be continued until the decision of the Arbitrator or the umpire, as the case may be, is obtained.

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

Notwithstanding anything contained above, in case of dispute, claim & legal action arising out of the contract, the parties shall be subject to the jurisdiction of courts at Lucknow, India only.



A notice shall be effective when delivered or on the notice's effective date, whichever is later.



Annexure I

Technical Bid [page 33-41]

Bid Covering Letter

(To be submitted on Bidder's company letter head)

Date:

The General Manager
Audit Vertical
Small Industries Development Bank of India,
4th Floor, SIDBI TOWER,
15, Ashok Marg,
Lucknow – 226 001

Dear Sir,

Information Systems Audit [IS Audit] – FY 2018

We, the undersigned bidders, having read and examined the aforesaid RfP document in detail, do hereby propose to extend the services as specified in the above mentioned Tender document and submit the following as per requirement:

1. Bid Price: We have enclosed a Demand Draft/ banker's cheque of the sum of ₹500/- (₹ Five Hundred only) towards non-refundable bid price / cost of tender.
2. Earnest Money Deposit (EMD): We have enclosed a Demand Draft / banker's cheque/ of the sum of ₹20,000/- (₹ Twenty Thousand only) towards EMD. This EMD is liable to be forfeited in accordance with the provisions mentioned in the RfP.
3. Technical bid and Commercial bid inside separate envelopes, in prescribed formats.

We hereby declare that our bid is made in good faith, without collusion or fraud and the information contained in the bid is true and correct to the best of our knowledge and belief.

We also undertake to have read, understood and accepted the terms and conditions specially those related to evaluation and selection processes mentioned in the RfP. Having submitted our response to the aforesaid RfP, we also understand not to have any option to raise any objection against any of the said processes defined in the RfP in any future date. We understand that our bid is binding on us and persons claiming through us and that you are not bound to accept a bid you receive.

Thanking you,

Yours sincerely,

Signature of Authorised Signatory :

Date :

Place :

Name of the Authorised Signatory :

Designation :

Name of the Organisation :

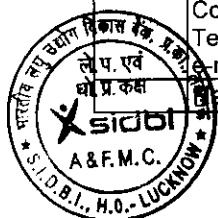
Seal ...

Enclose : Technical Bid, Demand Draft, Bank Mandate Form and CD/pendrive with soft copy of technical



Technical Bid

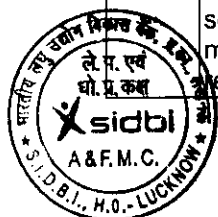
Sr.No	Requirements/ Information about the Bidder	Compliance (Yes/No)	Bidder's Response	Attachement Tag \$\$
	Audit Firm Details			
(i)	Name of the IS Audit Firm / Company.			
(ii)	Year of establishment of the audit firm.			
(iii)	Year of starting IS Audit Activity. No. of years of experience in IS Audit.			
(iv)	Type of Company [Government organization/ Public sector unit/ partnership firm / Limited Company/ Private Limited Company/LLP]			
v	Registration No. and Date of Registration.			
vi	Copy of Registration certificate to be enclosed (Yes/No)			
vii	Address of the Registered Office with contact numbers			
	Address			
	Land Line No.			
	Fax No.			
	Email address			
viii	GST No.			
ix	Permanent Account Number (PAN) Copy of PAN card attached (Yes/No)			
x	Service tax registration No			
xi	Financials			
xi(a)	Turnover in crores@			
	FY 2016-17 =			
	FY 2015-16 =			
	FY 2014-15 =			
xi(b)	Networth in crores@			
	FY 2016-17 =			
	FY 2015-16 =			
	FY 2014-15 =			
xi(c)	Cash profit in crores@			
	FY 2016-17 =			
	FY 2015-16 =			
	FY 2014-15 =			
xi(d)	Net profit in crores@			
	FY 2016-17 =			
	FY 2015-16 =			
	FY 2014-15 =			
xii	@Attach CA certificate and a copy of audited Balance Sheet for past three years.			
xiii	Contact details of Bidder's authorized representative to make commitments to SIDBI: (indicate contact person name, Designation, Company's address in India, Telephone No., Mobile No.Fax No., e-mail address)			
	Name			



Sr.No	Requirements/ Information about the Bidder	Compliance (Yes/No)	Bidder's Response	Attachement Tag \$\$
	Designation			
	Office Address			
	Land Line No.			
	Mobile No.			
	Fax No.			
	Email address			
xiv	MSME status (Tick appropriate)			
	Company does not qualify the status of MSE			
	Company does qualify the status of MSE			
	SC/ST			
	MSE registration certificate attached (Yes/No)			
xv	EMD details			
A	DD / Pay Order			
B	Number			
C	Date of issue			
D	Amount (Rs.)			
E	Issuing Bank			
xvi	Application fee/ tender form cost details			
A	DD / Pay Order			
B	Number			
C	Date of issue			
D	Amount (Rs.)			
E	Issuing Bank			
	Eligibility Criteria			
1	The bidder should be a government organization/ Public sector unit/ partnership firm / Limited Company/ Private Limited Company having its Registered Office in India. (documentary proof of the same / Certificate of Incorporation / Registration certificate is to be submitted.).	Yes/No	{attach certificate of incorporation / Registration certificate}	{proof provided at Annexure __ / page __ of the technical bid}
2	Existence in last 5 years and carrying out Information Systems Audit services since then. (Memorandum & Articles of Association should be attached, and evidences confirming year and area of activity.)	Yes/No		
3	The bidder should have a minimum turnover of ₹1.5 crore annually, in the past 3 years (2016-17, 2015-16, 2014-15). (Provide last three years Balance sheet and CA certificate)	Yes/No	Turnover in crores FY 2016-17 = FY 2015-16 = FY 2014-15 =	{proof provided at Annexure __ / page __ of the technical bid}
4	The bidder should be maintaining / having positive networth and cash profit (i.e. no cash loss) in 2 years out of last 3 years. @ (Provide CA certificate)	Yes/No	Networth in crores FY 2016-17 = FY 2015-16 = FY 2014-15 =	{proof provided at Annexure __ / page __ of the technical bid}



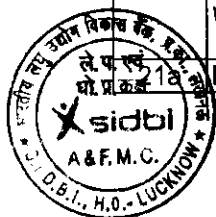
Sr.No	Requirements/ Information about the Bidder	Compliance (Yes/No)	Bidder's Response	Attachment Tag \$\$
			Cash profit in crores FY 2016-17 = FY 2015-16 = FY 2014-15 =	
5	The bidder must warrant that there are no legal actions being taken against it for any cause in any legal jurisdiction. If such an action exists and the bidder considers that it does not affect its ability to deliver the requirements as stated in this RfP, an undertaking specifying the nature of the legal action and the reasons why this shall not affect the bidder's ability to deliver shall be provided. [Letter of undertaking to this effect on company's letter head signed by company's authorized signatory]	Yes/No	{attach self declaration }	{proof provided at Annexure __ / page __ of the technical bid}
6	The Bidder should not have been black-listed by any Public Sector Bank, RBI or IBA or any other Government agencies. Bidder must certify to that effect. [Letter of undertaking to this effect on company's letter head signed by company's authorized signatory]	Yes/No	{attach self declaration }	{proof provided at Annexure __ / page __ of the technical bid}
7	The Bidder must be having on their rolls, on permanent employment basis, a minimum of two (2 nos.) professionals who hold professional certifications like CISA/ CISM/ CISSP/ CEH)	Yes/No	Total no. of employees on the payroll of IS audit Company= __ No. of employees with professional certifications / Expertise / Skill Set – Resources on the Payroll of the company (CISA / CISSP/ CISM/ CEH certified Professionals) = __	{proof provided at Annexure __ / page __ of the technical bid}
8	The bidder must warrant that all team members proposed from the prime bidder organization must be permanent employees on the rolls on the organization. [Letter of undertaking to this effect on company's letter head signed by company's authorized signatory]	Yes/No	{attach self declaration }	{proof provided at Annexure __ / page __ of the technical bid}
9	To ensure audit independence, the bidder should not have provided any IT services, including program management, systems integration, requirements specification, etc.,	Yes/No	{attach self declaration }	{proof provided at Annexure __ / page __ of the technical bid}



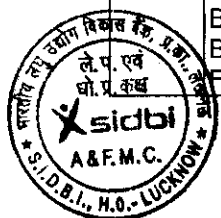
Sr.No	Requirements/ Information about the Bidder	Compliance (Yes/No)	Bidder's Response	Attachement Tag \$\$
	excluding similar IS Audits, either directly, or indirectly through a consortium, in the past three years to SIDBI.			
10	Should deploy minimum one CISA qualified person apart from other Technical/professional manpower (CISA/ CISM /CISSP/ BS7799 LA/ ISO27001 LA) qualified professionals (who are regular employees of the firm) for the ITCR, N&SA Audits and application software audit. (Proof of Certification should be attached).	Yes/No	Name of the CISA to be deployed for the project= 1. Names of the other team with qualification and experience which are likely to be deployed for the project= 2. 3. 4. 5.	{proof provided at Annexure __ / page __ of the technical bid}
11	Experience of conducting similar IS Audit as proposed by SIDBI. A minimum of 2 audit projects in Public Sector / Private Sector Banks or Public Financial Institutions in India, having centralised Data Centre operations with network, database setup for IT Control review and Network & Security Audit.	Yes/No	Provide name of the Public Sector / Private Sector Banks or Public Financial Institutions in India where similar IS Audit is conducted during past three years. 1. 2. 3. 4. 5. 6. 7. 8. 9. 10.	{proof provided at Annexure __ / page __ of the technical bid}
12	IS Audit must either be a core activity of the firm or carried out by a regular departmental set up of the firm. [Letter of undertaking to this effect on company's letter head signed by company's authorized signatory]	Yes/No	{attach self declaration }	{proof provided at Annexure __ / page __ of the technical bid}
13	Organisation should be a valid member of Panel of IT Security Auditors empanelled by CERT-In (as per present list) Documentary evidence of the same and letter from Cert-In should be attached / enclosed.	Yes/No	{attach certificate}	{proof provided at Annexure __ / page __ of the technical bid}
14	The bidder should not have carried out IS Audit of SIDBI for the previous year i.e. IS Audit for FY 2017. [Letter of undertaking to this effect on company's letterhead signed by company's authorized signatory]	Yes/No	{attach self declaration }	{proof provided at Annexure __ / page __ of the technical bid}
	Number of Information Systems Audit		Number: ____	{proof provided at



Sr.No	Requirements/ Information about the Bidder	Compliance (Yes/No)	Bidder's Response	Attachement Tag \$\$
	project done for Public Sector / Private Sector Banks or Public Financial Institutions in India. (Certificate to be enclosed for the last 3 years) No. of End to End application Audit for banks or Public Financial Institutions in India			Annexure __ / page __ of the technical bid}
16	No. of VA – PT services towards Internet Banking for banks or Public Financial Institutions in India		Number: ____	{proof provided at Annexure __ / page __ of the technical bid}
17	Total Number of Employees on the payroll of the company No. of CISA = No. of CISM = No. of CISSP = No. of ISO 27001 LA = No. of BS 7799LA = No. of ISO27001 LA = Others = Total =		Total Number: ____	{proof provided at Annexure __ / page __ of the technical bid}
18	Technical Manpower/ Expertise / Skill Set – Resources (CISA/ CISM/ CISSP/ ISO 27001 LA/ BS 7799LA/ ISO27001 LA)/CEH certified Professionals) to be deployed for SIDBI IS Audit project. No. of CISA = No. of CISM = No. of CISSP = No. of ISO 27001 LA = No. of BS 7799LA = No. of ISO27001 LA = Others = Total =		Total Number: ____	{proof provided at Annexure __ / page __ of the technical bid}
19	Financial Strength of the company. Turnover of company in Crores in past 3 years ending March 31, 2017.		Turnover in crores FY 2016-17 = FY 2015-16 = FY 2014-15 =	{proof provided at Annexure __ / page __ of the technical bid}
20	Profitability of the Company Net Profit of company in crores in past 3 years ending March 31, 2017.		Net Profit in crores FY 2016-17 = FY 2015-16 = FY 2014-15 =	{proof provided at Annexure __ / page __ of the technical bid}
21	Describe Project Management clearly indicating about the composition of various teams.			{proof provided at Annexure __ / page __ of the technical bid}
	Details of CISA Professional and Other			



Sr.No	Requirements/ Information about the Bidder	Compliance (Yes/No)	Bidder's Response	Attachement Tag \$\$		
	professionals likely to be part of the project.					
	Sr.No. Name	Since when working with the company	Educational and Professional Qualification	Experience		
	1					
	2					
	3					
	4					
	5					
	6					
	7					
	8					
	9					
	10					
22	Describe Approach Audit Methodology and Standards to be used. Give the details of software to be used.			{proof provided at Annexure __ / page __ of the technical bid}		
23	Indicate Project Plan with milestones and the time frame of completion of different activities as per the requirement under Section 3.5 .			{proof provided at Annexure __ / page __ of the technical bid}		
24	Scope of Audit with List of deliverables vis-à-vis the time frame of the deliverables as per the scope of the project in Section 3 .			{proof provided at Annexure __ / page __ of the technical bid}		
25	Role and responsibility of SIDBI and the Audit firm. Explain other requirements from SIDBI, if any.			{proof provided at Annexure __ / page __ of the technical bid}		
26	Briefly mention about a minimum of 5 or more IS audit projects with details of scope, duration & size (in the order of size/duration) related to the above project carried out in Banks / Public Financial Institutions in India since last three years.		Project Name Client Place Year 1 2 3 4 5	{proof provided at Annexure __ / page __ of the technical bid}		
	Client Name	Contact Person	Contact no.	Email address	Scope of IS Audit activity	Audit period /date of audit
27	Briefly mention about a minimum of 5 or more VA-PT services towards Internet Banking carried out in Public sector Banks/ Private sector Banks / Public Financial Institutions in India since last		Project Name Client Place Year 1 2 3	{proof provided at Annexure __ / page __ of the technical bid}		



Sr.No	Requirements/ Information about the Bidder			Compliance (Yes/No)	Bidder's Response	Attachement Tag \$\$
	three years.				4 5	
	Client Name	Contact Person	Contact no.	Email address	Scope of VAPT/ IS Audit activity	Audit period /date of audit
28	Include job / experience / qualifications profile of the Project Manager and other key personnel to be involved in the project. (Please note that involvement of CISA/ BS7799 LA/ ISO27001 LA professionals are a must in each team).				Name Qualification Experience 1 2 3 4	{proof provided at Annexure __ / page __ of the technical bid}
28a	Whether Project Manager and other key personnel have experience in following areas					
i	Wide Area Network (IP based network with CISCO router, switch etc)			Yes/No		
ii	Security assessment: - Firewall , IDS, IPS, using network such as MPLS, leased lines, ISDN , dialups etc.			Yes/No		
iii	Operating Systems (Unix, Windows 2003 etc.)			Yes/No		
iv	Database (Oracle, MS SQL etc.)			Yes/No		
v	Centralised Data Centre operations with network, database setup			Yes/No		
vi	Vulnerability Assessment			Yes/No		
vii	Penetration Testing			Yes/No		
29	Any other related information, not mentioned above, which the audit firm wish to furnish including work experience with SIDBI.					{proof provided at Annexure __ / page __ of the technical bid}
30	Declaration of commercial terms and conditions, if any. It is expected that the firm will accept the conditions as stipulated by SIDBI. In case, some conditions are not acceptable or any additional conditions stipulated, the same may be indicated here.					{proof provided at Annexure __ / page __ of the technical bid}

@- Provide Annual report or CA certificate for last three years mentioning the turnover, net worth, cash profit and net profit.

Note: 1. All the relevant details & documentary evidence are to be furnished.

2. Proposals of bidders who do not fulfill the above criteria and who fail to submit documentary evidence thereon would be rejected.



Declaration

We hereby declare that the information submitted above is complete in all respect and true to the best of our knowledge. We understand that in case any discrepancy or inconsistency or incompleteness is found in the information submitted by us, our application is liable to be rejected.

Date	Signature of Authorised Signatory -
Place	Name of the Authorised Signatory -
	Designation -
	Name of the Organisation -
	Seal -

Note

- Bidder response should be complete with all relevant documents attached.
- Documentary proof, sealed and signed by authorized signatory, must be submitted.
- Details of clients and relevant contact details are mandatory. Bidders may take necessary approval of the clients in advance before submission of related information. SIDBI will not make any separate request for submission of such information.
- SIDBI will contact the bidder referenced customer for verifications of facts, the bidder to ensure that the customer is intimated. Further in case SIDBI feels to visit the reference site, the bidder to take necessary approvals for the same. SIDBI will not make any separate request to the bidders customers.
- Proposal of the bidders are liable to be rejected in case of incomplete information or wrong information or non-submission of documentary proof.



Annexure II

Commercial Bid [page 42]

(To be submitted on Bidder's company letter head)

Commercial Bid

The commercial Bid should contain the Total project cost, on a fixed cost basis. SIDBI will neither provide nor reimburse expenditure towards any type of accommodation, travel ticket, airfares, train fares, halting expenses, transport, lodging, boarding etc.

The format for the commercial bid is given below:

Name of the Projects	Cost [₹]	Applicable Taxes, [₹]	Total Cost [Inclusive of all taxes, etc] [₹]
IS Audit – FY 2018 (inclusive all fees and expenses)			

Date	Signature of Authorised Signatory -
Place	Name of the Authorised Signatory -
	Designation -
	Name of the Organisation -
	Seal -



Cover – 1 Technical Bid
Tender No. _____ Dated _____

From,
.....
.....
.....
.....
.....
Contact No. (Mobile and Landline)

To,
The General Manager,
Small Industries Development Bank of India,
Audit Vertical
SIDBI TOWER
15, ASHOK MARG
LUCKNOW - 226001



Tender No. _____ Dated _____

.....

.....

.....

.....

To,
The General Manager,
Small Industries Development Bank of India,
Audit Vertical
SIDBI TOWER
15, ASHOK MARG
LUCKNOW - 226001



Annexure III

1. Bills Finance System

1.1 Basic Business Need

Bills Finance is a form of assistance to mitigate the receivables problem of suppliers belonging to Micro, Small and Medium Enterprises (MSMEs) and improve their cash flow / liquidity. SIDBI helps to mitigate the problem of delayed payments to MSMEs, by discounting of bills of exchange/invoices arising out of sale of indigenous components / parts / sub-assemblies /accessories /intermediates by an MSME unit. Services provided by an enterprise in the services sector (eligible service provider) to a Purchaser Company are also covered. Under this facility the important schemes being covered are RFS (Receivable Finance Scheme), Sellerwise Receivable Finance Scheme (SRFS), Invoice Discounting Scheme (IDS). SIDBI has Bills Finance Software to support the business under this facility. Bills software is used in more than 50 branches of SIDBI.

1.2 Functionality and Process Flow in brief

Bills Finance software supports complete cycle of Account creation, Limit maintenance , Purchaser seller link, Discounting and Payment process, RTGS/NEFT instruction generation, Seller Advice, Demand generation, Repayment appropriation, Contra of Disbursement and Repayment, NPA marking, Penal Interest demand and appropriation, real time alerts for High Value and Exceptional transactions, Income apportioning, Waiver of Penal Interest, Retention refund etc. The modules are based on maker checker concept for most of the business critical functionalities. The software also supports some of the variants under the schemes like LC backed discounting, Modified Discounting, Seller wise sublimit, SRFS backed by invoices .

Also a web based access is provided to selected customers for uploading data from their SAP to be discounted at SIDBI end.

Module(E-discounting) is available for uploading discounting data received from Customers in excel - format for uploading and carrying out discounting.

There are around 30 frontend interface screens to carry out different functionalities. Around 60 reports are there to support the users to carry out disbursement, repayment, overdue monitoring, closing and housekeeping activities.

The software is also integrated with CIF(Customer Database), GL, MIS, RNMS(NPA monitoring) and ALM(Asset Liability) modules for accounting and subsequent reporting and monitoring.

1.3 Details of Platform used for the application

Back End:

Operating system : HP-Unix--

OS Version :

Database version : Oracle 11.2.0.4

Front End:

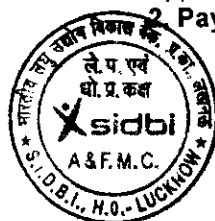
Platform : Windows 2008 R2 with Enterprise SP1

Client : Oracle 9i

Reports & Forms : Developer 6i

Application hosted on : Citrix

2. Payment and Collection System (PnC)



2.1 Basic Business Need

The PnC System is for automation of various functionalities towards third-party payments, money receipt / collection operations with maker-checker processes and also passing of corresponding accounting entries in General Ledger (GL) through interface. Bank's general ledger is maintained in Flexcube Core banking application.

There are around 30 frontend screens to carry out different functionalities.

The main modules are listed below: -

1. Master Maintenance:

Master Maintenance is used to create the Master records which will be used in Collection, Payments, cheque printing, and reports. Following Masters are available for Master Maintenance Module.

- a. Customer Bank
- b. Nostro Bank
- c. Transaction Code
- d. Cheque Return Reason
- e. Cheque Layout.

2. Collections:

Collection Module is used to create/modify/view/rectify/'clearance/dishonor' of the instrument collections. Following Options are available for Collection Module.

- a. Create New
- b. View
- c. Modify
- d. Rectify
- e. Collection Approval

3. Payments:

All the payments approved in various business applications are made available at this module, i.e. the common application for release of payments through different mode of payments i.e. DD/NEFT/RTGS etc. Nowadays, most of the payments are done through RTGS / NEFT. Such payment instructions are generated from the system, signed by authorized signatory and forwarded to the corresponding bank for payment.

The following options will be available for Payments.

- i. Modify Payments
- ii. View Payments
- iii. Clearance/Dishonor

4. Daily fund Management (DFM):

DFM module is used for automation of inter-office fund transfer between HO and branches based on the surplus / deficit of fund at the branch.



The following are the modules under DFM

- Branch – for raising requests intimating surplus / deficit of funds
- HO Department – For processing of branch requests

The above modules are used by FUNDS DESK/branches for requesting/remitting the funds.

5. Reports:

Around 10 reports are there to support the users to carry out their daily activities.

2.2 Details of Platform used for the application

Back End:

Operating system: HP-UX
OS Version: B.11.31 ia64
Database version: Oracle 11g (11.2.0.4.0)

Front End:

OS – Red Hat Linux 6.9 64-bit X86_64
Application Server: - IBM Web Sphere Application server 8.5.5.8.
Reports & Forms: Oracle Forms and reports Server 10.1.0.2.0
Single Sign On: IBM web sphere portal server 6.0, IBM TDS 6.1.
Framework: Struts and Hibernate (MVC Architecture).

3.RTI System

RTI [Right to Information] Application Software



This application software is basically to capture the details of RTI applications received from an applicant. CPIO accepts the application and replies to the applicant within a fixed time frame. In the same way, if the applicant is not satisfied with the reply of CPIO, the applicant can go for a appeal to Appellate Authority [AA] for the same. If further, applicant is not satisfied with the reply of AA, the applicant can go to CIC [Central Information Commission]. All these details are captured in RTI application software. Based on information punched in the software, various MIS reports are generated by the concerned department. The reports like no of application received, no of application closed, no of interim reply against the applications.

Functionalities

- CPIO receives the RTI application of an applicant.
- The application is inwards in RTI software with application details.
- CPIO may reject the application based on the applicability of the information asked in application.
- CPIO replies to the applicant within a stipulated time frame. The letter sent is also outwards in the RTI software.
- If the applicant is not satisfied with the reply of CPIO, the applicant can go for a appeal to the Appellate Authority [AA] for the information. The appeal information is again inwards in RTI software in reference with earlier inwards application.
- AA replies to the applicant in stipulated time frame and is outwards again in the system.
- If applicant is still not satisfied with the reply of AA, the applicant can go to CIC [Central Information Commission].
- RTI application software has a option for interim reply to the applicant and moreover, for the clarifications asked from applicant.
- For each level of CPIO, AA & CIC, the application is marked as closed.



4. Payroll Software

Payroll Software: Central Salary Processing Cell [CSPC]

Payroll Processing

- Payroll Software processes the salary of all active employees as per HRMS software.
- All pay and recovery components have been automated with discrete functions as per the eligibility in each grade.
- Arrear Module is used for calculating all types of arrears for an employee, it may be due to revision, JAIIB/ CAIIB from previous date, recoveries in r/o Penalties imposed.

Integration with HRMS Software

- Tightly linked with HRMS software for picking up the personal details of each employee.
- The increment processing in r/o JAIIB/ CAIIB/ Normal Promotion/ Penalties etc takes place each month on the basis of HRMS data.

Integration with CAP Software

- Tightly linked with CAP Software for picking up any recovery to be made.
- Pick the recoveries for a month related to VOF recoveries, Holiday Home Recoveries, LFC amount paid and tax deducted for taking into additional income and taxes paid.

Integration with Accommodation (AMA) Software

- Tightly linked with AMA Software for calculating HRA/ VOF recovery based on the accommodation available in AMA software.

Recoveries

- PF recoveries, Income Tax calculated and recovered on monthly basis and projected Income Tax is shown in Salary slip.
- Loan recovery for Festival Advance, Housing Loan, Consumer Article Advance, Vehicle Loan, Computer Loan are taken from CAP Software automatically.
- IDBI Society recovery received from IDBI Co-operative Society is loaded every month into Payroll Software for recovery.

Integration with FlexCube

- GL Accounting has been automated for passing GL entries into respective GL Codes under FlexCube.

Payslip Generation & Reports

- Provision for generation of payslips through front end and sending the same thru email.
- Salary Data file is generated in text format which is then converted into Excel file format as IDBI desires the same in Excel format.
- Payroll Arrear Report has been developed to show the summary of payments and recoveries in arrear calculation.



5.Terminal Benefit System

Terminal Benefit System (TBS) Software

TBS Processing

- Software processes the terminal benefits applicable for an employee on retirement/ resignation marked in HRMS software.
- The processing provides the information about the pension eligible, gratuity amount, OL encashment and tax applicable.
- The desk user processes TBS as and when an employee retires/ resigned on last date of month.

Integration with HRMS Software

- Tightly linked with HRMS software for picking up the personal details of each employee.
- Picks up the OL balances from HRMS for calculating the eligible OL amount.

Integration with Payroll Software

- Tightly linked with Payroll Software for picking up all loan outstanding balances for settlement.
- Picks up and loads the Tax Details (Paid and Payable) from payroll software and recalculate the tax applicability.
- Picks up the salary details of at least 20 Months salary for selection of any 10 months out of it, for arriving the applicable pension amount.
- Calculates the gratuity applicable amount based on Salary data.

Integration with Pension Software

- Tightly linked with Pension software for pushing up the eligible pension records of data and personal details. Based on this data, Pension software processes the pension for each retiree.

Integration with GL

- GL Accounting has been automated for passing GL entries into respective GL Codes under separate GL Schema.

TBS Generation & Reports

- Provision for generation of various reports for Pension details, OL encashment calculation, Gratuity details and applicable taxes in HTML formats.



6. Electronic Meeting Software

Electronic Meeting Software

Business Requirement

Electronic Meeting Software (EMS) is for the automation of board and committee meeting processes in more efficient and effective way. Currently EMS has been deployed for SIDBI and its subsidiaries for Various meetings like Board of Directors, Audit Committee (AC), Executive Committee (EC), Asset Liability Management Committee, IT Committee, Nomination and Remuneration Committee (NRC), Risk Management Committee, Recovery Review Committee (RRC), Special Committee to Monitor Large Value frauds (SCMLVF), IT Strategy Committee (ITSC) for agenda & minutes.

Salient features of the Electronic Meeting Software include:

- Browser based and app based system for any PC, Laptop, iOS & Android devices (like iPad, smart phones and tablets).
- Application interface for the secretaries / designated officers / board division and others committees as per bank's requirement.
- Bulk upload of agenda and docs.
- Preparation of minutes of meeting (MOM), Action Taken Report and also record meeting attendance.
- 'Work Offline' feature allows Directors to operate without internet access.
- Power Search – Instant access of old meeting data with word based search (agenda, follow-up, documents, etc).
- Easy navigation with page numbers, comments search, bookmarks, scroll, zoom in, zoom out.
- Built in support for common documents – Supports all types of documents.
- SMS and Email alerts. Option to share comments (Text, free draw & highlight).
- Ease of preparation, production and distribution of board/committee books.
- Safe guard data with world class security features like encryption, authentication & authorization among other several features.
- Third party certified security features like access control, encrypted password, password attempts, audit log, download watermark of user name in docs.

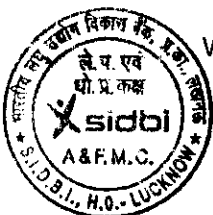
Details of Platform used for the application

Dot NET Framework

IIS Server for deployment

MS SQL Database

Windows Server Operating System



Back End:

Operating system: Windows
OS Version: B.11.31 ia64
Database version: MS SQL

Front End:

OS – Red Hat Linux 6.9 64-bit X86_64
Application Server: - IIS Web Server
Dot Net Framework
Reports & Forms: Oracle Forms and reports Server 10.1.0.2.0
Single Sign On: IBM web sphere portal server 6.0, IBM TDS 6.1.
Framework: Struts and Hibernate (MVC Architecture).



Annexure IV

Location wise list of Servers and Network Equipments for (Network Security Audit)		
Location	Hardware Details	No of items
MDC	WIN 2003 R2 STD	11
	WIN 2008 / 2012 R2 STD	57
	Citrix Xen	9
	Linux Server	56
	IBM AIX Server	1
	HP Unix	4
	Router – WAN Connectivity	
	Cisco 3900 Series	2
	Cisco 3800 Series	2
	Cisco 1900 Series	1
	Router – Internet Connectivity	
	Cisco 4000 Series	2
	Router – NDS Connectivity	
	Cisco 800	2
	Router – Thompson Reuters Connectivity	
	Juniper SRX 550	2
	Security Devices and Link Load Balancers	
	Blue Coat ASG 200	2
	Cisco FirePower IPS	2
	Fortinet - Fortigate 3600 C	2
	CheckPoint 15400	2
	Radware LinkProof - Link load balancers	2
	Fortinet - Fortigate 60E	2
	Fortinet - FortiAnalyzer	1
	Network Switches	
	Cisco 6500 Series	2
	HP 7900 Series	2
	HP 2530 Series	1
	HP 5100 Series	4
	HP 5900 Series	8
DR, Shennai	WINDOWS 2003/2008/CITRIX ZEN	29
	HP-UX	1
	Linux	25
	Router – WAN Connectivity	
	Cisco 2900 Series	3
	Cisco 1900 Series	1
	Router – Internet Connectivity	
	Cisco 4000 Series	2
	Router – NDS Connectivity	
	Cisco 800	1
	Security Devices	
	Checkpoint 5900	2
	Fortinet - Fortigate 1200 D	2
	Fortinet – FortiAnalyzer	1
	RADWARE – Link Load Balancer [Will be installed shortly]	2
	Blue Coat ASG 200	2



Annexure V**Declaration to be signed by the
third party vendors / service provider**

(to be filled in by authorised signatory of the vendor
/ service provider while accepting the order)

In case of a limited company

I, Shri _____, son / daughter of Shri _____, aged about _____ years, Indian inhabitant residing at _____, do hereby solemnly declare and state as follows:

(i) I am a Director/ the Managing Director / _____ (designation) of _____ Ltd., a Company within the meaning of the Companies Act, 1956 and having its Registered Office at _____ (hereinafter called "the Company") and I am duly authorised by the Company to make this declaration for and on behalf of the Company.

In case of a partnership firm.

We,

1. Shri _____, son / daughter of Shri _____, aged about _____ years, Indian inhabitant residing at _____,
2. Shri _____, son / daughter of Shri _____, aged about _____ years, Indian inhabitant residing at _____,
3. Shri _____, son / daughter of Shri _____, aged about _____ years, Indian inhabitant residing at _____,

the partners of _____, a partnership firm carrying on its business at _____ (hereinafter referred to as "Firm") do hereby solemnly declare and state as follows:

(i) We say that we are the partners of the firm.

In case of a proprietary concern.

I, Shri _____, son / daughter of Shri _____, aged about _____ years, Indian inhabitant residing at _____ do hereby solemnly declare and state as follows :

(i) I say that I carry on business in the name and style as M/s _____ as a Sole Proprietary Concern at _____,

(ii) I / We will keep information related to SIDBI confidential and will not divulge to any outside agency or person without written consent from SIDBI. This shall include passwords, access codes, pass phrases used by the personnel of my company. I / We will ensure that any user ids / manuals / SIDBI related information in printed / soft form / hardware items used by the personnel of my company shall be



returned / handed over to the concerned person in SIDBI upon the completion of the task assigned to the company or as per the guidelines issued by SIDBI.

(iii) I / We shall also indemnify and keep SIDBI indemnified against all losses, damages, costs, claims and expenses whatsoever which SIDBI may suffer, pay or incur by reason of or in connection with any such default on the part of the _____ (firm /company).

Date	Signature of Authorised Signatory -
Place	Name of the Authorised Signatory -
	Designation -
	Name of the Organisation -
	Seal -



**Declaration to be signed by employees
of the third party vendor / service provider**

(to be filled in by each vendor / service provider personnel)

I _____, representative / service engineer of M/s _____ do hereby declare that I will faithfully, truly and to the best of my knowledge and ability, execute and perform the duties required by me for Small Industries Development Bank of India (SIDBI) as per the terms & agreement of SIDBI entered into with the vendor / service provider - M/s _____.

I further declare that I will not communicate or allow to be communicated to any person not legally entitled thereto any information relating to the affairs of SIDBI and its affiliates. I will hand over any user ids / manuals / SIDBI related information in printed / soft form in my possession / hardware items used by me to the concerned person in SIDBI upon the completion of my task. I will not divulge passwords, access codes, pass phrases used for discharging my duties to any person not legally entitled thereto.

I also do hereby declare that I agree to abide by the instructions / guidelines given by SIDBI from time to time.

Date	Signature of Authorised Signatory -
Place	Name of the Authorised Signatory -
	Designation -
	Name of the Organisation -
	Seal -

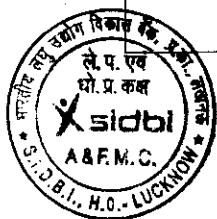


Annexure VI**Format of Audit Report (MS Word file)****Audit Report****IS Audit FY 2018 – ITCR and Network security audit of Mumbai Data Center (MDC) & Disaster Recovery Site at Chennai (DRC) AND Application Software Audit****1. Details of Audit**

Auditee office	Mumbai Data Centre, Mumbai Office, DR Site Chennai, Chennai Office, <i>Bills Finance System, Payment and Collection System(PnC), RTI System, Payroll Software, Terminal Benefit System and Electronic Meeting Software</i>
Audited by	Name of the Audit Firm
Audit period	FY 2018
Date of Audit	April-May 2018
Report issued on	

- The project wise number of observations with risk level are as under

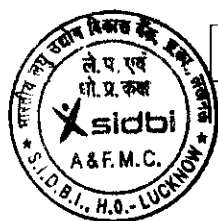
S.No.	Project Name	Risk level	Number of observations
1	IT Control Review (ITCR) of Mumbai Office,	High	
		Medium	
		Low	
2	IT Control Review (ITCR) of Chennai Office,	High	
		Medium	
		Low	
3	Network & Security Audit (N&SA) of Mumbai Data Centre(MDC)	High	
		Medium	
		Low	
4	Network & Security Audit (N&SA) of DR Site Chennai (DRC),	High	
		Medium	
		Low	
5a	Application Software Audit of <i>Bills Finance System</i>	High	
		Medium	
		Low	
5b	Application Software Audit of <i>Payment and Collection System(PnC)</i>	High	
		Medium	
		Low	
5c	Application Software Audit of <i>RTI System</i>	High	
		Medium	



S.No.	Project Name	Risk level	Number of observations
		Low	
5d	Application Software Audit of <i>Payroll Software</i> Software	High	
		Medium	
		Low	
5e	Application Software Audit of <i>Terminal Benefit System</i>	High	
		Medium	
		Low	
5f	Application Software Audit of <i>Electronic Meeting Software</i>	High	
		Medium	
		Low	
6	VAPT-Web application/ domain name	High	
		Medium	
		Low	
7	VAPT-Web application/ domain name	High	
		Medium	
		Low	
8	VAPT-Web application/ domain name	High	
		Medium	
		Low	
9	VAPT-Web application/ domain name	High	
		Medium	
		Low	
10	VAPT-Web application/ domain name	High	
		Medium	
		Low	
11	VAPT-Web application/ domain name	High	
		Medium	
		Low	
	Overall	High	
		Medium	
		Low	

Overall there are xxxx observations (High- xxx, Medium- xxx, Low - xxx)

2. Project wise details of observations



S. No.	Observation	Risk Level	Impact Analysis and Recommendation for
--------	-------------	------------	--

		[H/M/L]	Risk Mitigation	
	Project Name: IT Control Review (ITCR) of Mumbai Office,			
1	•			
2 ...	•			
	Project Name: IT Control Review (ITCR) of Chennai Office,			
1	•			
2 ...	•			
	Project Name: Network & Security Audit (N&SA) of Mumbai Data C			
1	•			
2 ...	•			
	Project Name: Network & Security Audit (N&SA) of DR Site Chennai			
1	•			
2 ...	•			
	Project Name: Application Software Audit of Bills Finance System			
1	•			
2 ...	•			
	Project Name: Application Software Audit of <i>Payment and Collection System(PnC)</i>			
1	•			
2 ...	•			
	Project Name: Application Software Audit of <i>RTI System</i>			
1	•			
2 ...	•			
	Project Name: Application Software Audit of Payroll Software			
1	•			
2 ...	•			
	Project Name: Application Software Audit of <i>Terminal Benefit System</i>			
1	•			
2 ...	•			
	Project Name: Application Software Audit of <i>Electronic Meeting Software</i>			
1	•			
2 ...	•			
	• Project Name: VAPT-Web application/ domain name			
1	•			
2 ...	•			
	• Project Name: VAPT-Web application/ domain name			



1	•			
2 ...	•			
	• Project Name: VAPT-Web application/ domain name			
1	•			
2 ...	•			
	• Project Name: VAPT-Web application/ domain name			
1	•			
2 ...	•			
	• Project Name: VAPT-Web application/ domain name			
1	•			
2 ...	•			
	• Project Name: VAPT-Web application/ domain name			
1	•			
2 ...	•			



Annexure VII**बैंक अधिदेश फॉर्म /BANK MANDATE FORM**

(दो प्रतियों में प्रस्तुत किया जाए /To be submitted in Duplicate)

(कृपया सूचनाएँ साफ अक्षरों में भरें। जहाँ-कहीं लागू हो, उस पर सही का निशान लगाएँ।)

(Please fill in the information in CAPITAL LETTERS. Please TICK wherever it is applicable)

1. उधारकर्ता/विक्रेता/आपूर्तिकर्ता का नाम

Name of Borrower / vendor / supplier : _____

विक्रेता का कूट Vendor Code (if applicable) _____

2. उधारकर्ता/विक्रेता/आपूर्तिकर्ता का पता

Address of the Borrower / vendor / supplier : _____

नगर/City _____ पिनकोड Pin Code _____

ई-मेल आईडी /E-mail id: _____

एसटीडी कूट के साथ दूरभाष सं./Phone No. with STD code: _____

मोबाइल सं./Mobile No.: _____

स्थायी खाता संख्या/Permanent Account Number _____

एमएसई पंजीकरण/सीए प्रमाणपत्र/MSE Registration / CA Certificate _____

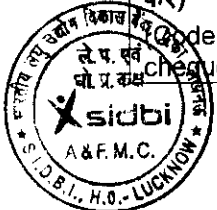
(यदि लागू हो/if applicable)

3. बैंक खाते का विवरण / Particulars of Bank account:

हिताधिकारी का नाम Beneficiary Name															
बैंक का नाम Bank Name					शाखा का नाम Branch Name										
शाखा का स्थान Branch Place					शाखा का नगर Branch City										
पिनकोड PIN Code					शाखा कूट Branch Code										
एमआईसीआर सं. MICR No.															
खाते का स्वरूप Account type	बचत/Saving				चालू/Current				नक़द उधार Cash Credit						
खाता सं. Account No.	(जैसी चेकबुक में अंकित है) (as appearing in the Cheque book)														

(बैंक से आपूर्त एमआईसीआर1 चेक पर अंकित कूट संख्या। कृपया यह सुनिश्चित करने के लिए कि बैंक का नाम, शाखा का नाम एवं कूट तथा खाता संख्या सही है, अपने बैंक का निरस्त किया हुआ चेक संलग्न करें)

(Code number appearing on the MICR1 cheque supplied by the Bank. Please attach a cancelled cheque of your bank for ensuring accuracy of the bank name, branch name & code and Account)



Number)				
आईएफएससी कूट2 IFSC CODE2	आरटीजीएस अंतरण के लिए For RTGS transfer		एनईएफटी अंतरण के लिए For NEFT transfer	

4. अधिदेश के प्रभावी किए जाने की तिथि

Date from which the mandate should be effective :

मैं एतद् द्वारा घोषित करता हूँ कि ऊपर दिए गए विवरण सही और पूर्ण हैं। यदि अपूर्ण या गलत सूचना के कारण लेनदेन (भुगतान) में कोई बिलम्ब होता है या भुगतान नहीं हो पाता है, तो मैं सिडबी / आईडीबीआई बैंक को उसके लिए उत्तरदायी नहीं बनाऊँगा। मैं यह भी वचन देता हूँ कि यदि मेरे खाते के विवरण में कोई परिवर्तन होगा, तो मैं उसकी सूचना दूँगा, ताकि भा.रि.बैंक के आरटीजीएस/एनईएफटी के माध्यम से राशि जमा किए जाने के प्रयोजन के लिए अभिलेख अद्यतन किए जा सकें।

I hereby declare that the particulars given above are correct and complete. If any transaction is delayed or not effected for reasons of incomplete or incorrect information, I shall not hold SIDBI / IDBI Bank responsible. I also undertake to advise any change in the particulars of my account to facilitate updation of records for purpose of credit of amount through RBI RTGS/NEFT.

स्थान/Place : _____

दिनांक/Date : _____

पार्टी/प्राधिकृत हस्ताक्षरकर्ता के हस्ताक्षर

Signature of the party / Authorized Signatory

प्रमाणित किया जाता है कि ऊपर दिए गए विवरण हमारे अभिलेख के अनुसार सही हैं।

Certified that particulars furnished above are correct as per our records.

बैंक की मुहर/Bank's stamp :

दिनांक/Date :

(बैंक के प्राधिकृत अधिकारी के हस्ताक्षर)

(Signature of the Authorized Official from the Banks)

टिप्पणी : यदि आरटीजीएस/एनईएफटी संबंधी कोई प्रभार होगा, तो उसका वहन पार्टी करेगी।

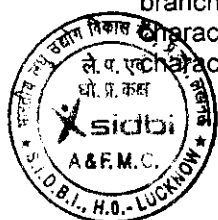
N.B.: RTGS/NEFT charges if any, is to be borne by the party

1, 2: आईएफएससी/एमआईसीआर के बारे में टिप्पणी

भारतीय वित्तीय प्रणाली कूट एक अक्षरांकीय/वर्णांकीय कूट है, जो भारत में किसी बैंक-शाखा की अनन्य रूप से पहचान के लिए बनाया गया है। यह 11 अंकों का कूट है, जिसमें प्रथम 4 अक्षर बैंक के कूट को दर्शाते हैं, जबकि पाँचवाँ अंक नियंत्रण अंक के रूप आरक्षित है (वर्तमान में पाँचवें स्थान पर 0 है) तथा शेष अंक शाखा की पहचान हैं। चेक पर अंकित एमआईसीआर कूट (चुम्बकीय स्याही अंक पहचान) में 9 अंक होते हैं, जिनसे बैंक-शाखा की पहचान होती है। भा.रि.बैंक ने सभी बैंकों को सूचित किया है कि वे अपने ग्राहकों को जारी किए जाने वाले चेक पत्रों पर आईएफएससी मुद्रित कराएँ। कोई ग्राहक भी अपनी बैंक-शाखा से संपर्क कर उस शाखा का आईएफएससी कूट प्राप्त कर सकता है।

1, 2: Note on IFSC / MICR

Indian Financial System Code (IFSC) is an alpha numeric code designed to uniquely identify the bank-branches in India. This is 11 digit code with first 4 characters representing the bank's code, the next character reserved as control character (presently 0 appears in the fifth position) and remaining 6 characters to identify the branch. The MICR code, (Magnetic Ink Character Recognition) that appears on



cheques, has 9 digits to identify the bank-branch. RBI had since advised all the banks to print IFSC on cheque leaves issued to their customers. A customer may also contact his bank-branch and get the IFS Code of that branch.

