



UCO Bank

Head Office

Dept. of Information Technology
3 & 4, DD Block, Sector-1, Salt Lake
Kolkata – 700 064

**Invitation for Expression of Interest for
Information Systems Security Audit**

1. Background:

UCO Bank, a leading Public Sector Bank headquartered in Kolkata has, in the last couple of years, implemented many key technology solutions like Core Banking (CBS), Internet Banking (e-banking), onsite / offsite ATMs, Anywhere Branch Banking (ABB), Integrated Treasury System, RTGS, SFMS, NEFT etc. The bank has chosen *Finacle* Software of M/s.Infosys Ltd., as the Core Banking Solution. The bank's Primary Data Centre is located at Bangalore. The Dept. of IT, HO as well as the D/R Data Centre are located at Kolkata. The bank's Payment System Gateway is located at its Integrated Treasury Branch, Mumbai.

UCO Bank invites *Expression Of Interest* from reputed vendors, who fulfill the *Eligibility Criteria* mentioned under Para-2 hereinbelow, to conduct a comprehensive System Audit of its critical IT systems at the above mentioned three locations and also to review all its existing policies, processes and procedures and to make appropriate recommendations, as covered under the *Scope of Work* mentioned under Para-3 herein.

2. Eligibility:

- 2.1. The Bidder must be a registered partnership firm or a limited company having its registered office in India.
- 2.2. The Bidder must be engaged in the business of Information System auditing (IS Auditing) in India at least for the last three years.
- 2.3. The Bidder must be a profit-making organization for the last three years.
- 2.4. The Bidder should have reported a segment turnover of atleast Rs.100 lakhs in the area relating to Information system audit in the last financial year ended March 31, 2007.
- 2.5. The Bidder must be having on their rolls, on permanent employment basis, a minimum of five (5 nos.) professionals who hold professional certifications like CISA/ CISSP/ CISM/ CCNA/CCNP/ ISO 27001 LA/ BS 7799 LA.
- 2.6. The above referred professionals should have requisite experience in relevant fields covering the Scope of Work herein, for at least 2 years.

- 2.7. The bidder, in the last two years ended March 31, 2007, should have performed similar comprehensive System Audit **for atleast two** (02) Indian Banks/ Financial Institutions/ financial intermediaries, having similar comparable complexity and size of operations as UCO Bank.
- 2.8. To ensure audit independence, the bidder should not have been a vendor of IT equipment / peripherals / services to UCO Bank in the past 3 years.

3. Scope of Audit:

- 3.1. A comprehensive Information Systems Security Audit must be undertaken covering the various key processes and procedures undertaken at the following three locations / sites:-
- i) Dept. of IT, Head Office, Kolkata (wherein the bank's DR Data Centre is also located (KDC).
 - ii) Bank's Primary Data Centre at Bangalore (BDC).
 - iii) Integrated Treasury Branch, Mumbai.
- 3.2. The Data Centre Audit at the two locations (BDC & KDC) shall include, but not be limited, to the following:-
- a. Building Management Systems
 - b. Power Supply, UPS & DG
 - c. Environment Control
 - d. Data center infrastructure - network cabling, raceways, server /Communication racks, Rack Power Distribution Units (PDU), KVM
 - e. Fire & Smoke, Water leak Detection and suppression Systems
 - f. Physical Access Controls
- 3.3. The IS Audit at all the three locations shall cover :-
- 3.3.1. Operating System (OS) for servers, Databases, network equipments, Security Systems, Storage Area Networks. The audit shall cover following aspects among others: -
- a. Set up and maintenance of system parameters
 - b. Patch Management
 - c. Change Management Procedures
 - d. Logical Access Controls
 - e. User Management & Security
 - f. OS Hardening
 - g. Performance, Scalability and Availability
- 3.3.2. Review of IT Processes and IT Management Tools
- a. IT Asset Management
 - b. Enterprise Management System
 - c. Help Desk
 - d. Change Management
 - e. Incident Management

- f. Network Management
- g. Backup & Media Management
- h. Enterprise Anti-Virus Management
- i. Vendor & SLA Management

3.3.3. Security Management

- a. Security Equipment Configurations & Policies
- b. Penetration testing and Vulnerability Assessment (PT / VA) of various security zones.

3.3.4. Network & systems audit

- a. Network architecture review
- b. Network traffic analysis and base lining
- c. Virtual LANS (VLANs)

- 3.4. Review of migration process from non-CBS to CBS including pre-migration activities, activities on the day of migration and post-migration activities.
- 3.5. Delivery Channel Management (such as ATM, Debit Cards, Internet banking etc)
- 3.6. Review the existing policy documents of the bank such as IT Policy, IT Procurement Policy, IS Security Policy etc., and suggest required changes.

4. Other terms:

- 4.1. Expression of Interest should also contain the information as per the format given in *Annexure-1*.
- 4.2. Interested Audit / Inspection firms may submit, in sealed envelope, their Expression of Interest, duly signed by the authorized signatory. The envelope must be superscribed with "**Expression of Interest for System Audit of DIT, HO**", and sent by Post/ Courier / Hand delivery to :-

General Manager (IT, Policy Planning),
UCO Bank,
Department of Information Technology,
Head Office,
3 & 4, DD Block, Sector-1, Salt Lake,
Kolkata – 700 064.

- 4.3. Responses must reach the above referred address before **2.00 P.M. on 10th November 2007.** EOIs received after the prescribed time and date will NOT be entertained. In case of the designated day being declared to be public holiday, the same may be extended to next working day.
- 4.4. The Bank reserves the right to accept/ reject, at any stage of the process, any or all offers submitted in response to this invitation for *Expression of Interest*, and/or to modify the process or any thereof at any time without assigning any reason whatsoever and without any obligation or liability whatsoever.

- 4.5. The Bank reserves the rights to short list vendors based on the requirement of the Bank and to issue Request for Proposal (RFP) to vendors it deems eligible and qualified based on the responses received, and the decision of the Bank in this regard shall be final.
- 4.6. Notwithstanding anything contained herein above, in case of any dispute, claim and/or legal action arising out of this invitation, the same shall be subject to the jurisdiction of courts at Kolkata only.
- 4.7. This is not a Request for proposal (RFP) and commercial bids / offers SHOULD NOT be submitted with “Expression of Interest”.

General Manager (IT, Policy Planning)

		Attach Separate Sheet, if required
1	Basic Information	
	Company Name	
	Constitution	Registered Partnership Firm / Private Ltd / Public Ltd
	Date of Incorporation	
	Corporate Office Address	
	Contact Person	
	Designation	
	Landline No.	
	Mobile No.	
	Fax No.	
	Email Id	
	Address of other centres where the bidder organization is having office	
	Name and Addresses of Directors / Promoters	
	Details of Organizational Structure	
	No. of years in the business of IS Audit / IS Security services	
2	Financial Information	
	Turnover (Last 3 Years) (In Rs. Lakhs) 1) 2004-05 2) 2005-06 3) 2006-07 (Please attach Audited Balance Sheet for these 3 years)	
	Net Profit (Last 3 Years) (In Rs. Lakhs) 4) 2004-05 5) 2005-06 6) 2006-07 (Please attach Audited Profit & Loss Statement for these 3 years)	
3	Technical Information	
	a) Levels of Certification Obtained	
	b) No of Technical Staff	
	Hardware	
	Software	
	Network & Telecommunications	
	Database	
	Project Management	
	c) No. of Staff having following Certifications CISA CISSP CISM CCNA / CCNP BS-7799 LA / ISO 27001 LA	Please provide - in a separate sheet - names of personnel, their professional certification, years of experience in relevant area.etc
	d) Past Experience in conducting IS Audit / IT Security Audits for Bank and/or Financial institutions during the last 3 years	Please attach separate sheet giving detail and support documents.
	e) Name, Address, Telephone Nos. and email of contact persons of the clients where similar assignment was successfully completed. In the last 2 years.	