



UCO BANK

Department of Information Technology

Expression of Interest (EOI) for Empanelment of Information System Auditors (E-tendering).

EOI Ref. No: UCO/DIT/1457/2023-24 Date: 10.11.2023

Pre-Bid Responses/ Clarifications to Queries raised by the Bidder(s)

Sl. No	Page No	Clause No	Clause as per RFP	Description of Query/ Clarification sought by Bidder	Bank Response
1.	13	3 Eligibility Criteria (8)	To ensure audit independence, the bidder should not have been a vendor / Consultant of IT equipment / peripheral / software / Services / existing IS auditor of UCO Bank in the past 2 years.	Please clarify this clause, what sort of vendor/ service provider are allowed to participate since we have conducted Red Team Assessment for UCO bank in current financial year.	The cooling period of 2 years will be applicable only if the vendor has performed any of the activities listed in Eligibility clause no-3 in UCO Bank.
2.	30	Part III : Bid Opening and Evaluation Criteria (Technical Scoring Criteria – 1)	The bidder must have completed at least one complete cycle of System Audit in last two financial years, for a minimum of one (01) no. of Public / Private Sector Bank in India.	Request that you to modify the clause to below: The bidder must have completed at least one complete cycle of System Audit in last two financial years, for a minimum of one (01) no. of Public / Private Sector Bank / BFSI / FI in India.	Clause stands as per RFP.
3.	30	Part III : Bid Opening	The bidder must have completed at least one complete cycle of System	The bidder must have completed at least one complete cycle of System	Clause stands as per RFP.

		and Evaluation Criteria (Technical Scoring Criteria – 3)	Audit in last two financial years , for a minimum of one (01) no. of Public / Private Sector Bank in India.	Audit in last two financial years , for a minimum of one (01) no. of Public / Private Sector Bank/ BFSI / FI in India.	
4.	30	Part III : Bid Opening and Evaluation Criteria (Technical Scoring Criteria – 4)	<p>The bidder should have conducted IS Audit in following areas: -</p> <ol style="list-style-type: none"> 1. Process Audit 2. Site Audit 3. VA/PT 4. Source Code Audit 5. Forensic Audit 6. Application Audit 7. Network Audit 8. Audit of Security devices/ Solutions/ Parameters at SOC like DAM, PIM, WAF, SIEM, APT etc. 9. Database Audit 10. Migration Audit 11. Cloud Security Audit 12. SWIFT Audit <p>The experience in aforesaid areas can be split across multiple Public / Private Sector Banks also.</p>	<p>The bidder should have conducted IS Audit in following areas: -</p> <ol style="list-style-type: none"> 1. Process Audit 2. Site Audit 3. VA/PT 4. Source Code Audit 5. Forensic Audit 6. Application Audit 7. Network Audit 8. Audit of Security devices/ Solutions/ Parameters at SOC like DAM, PIM, WAF, SIEM, APT etc. 9. Database Audit 10. Migration Audit 11. Cloud Security Audit 12. SWIFT Audit <p>The experience in aforesaid areas can be split across multiple Public / Private Sector Banks / BFSI / FI also.</p>	Please refer corrigendum
5.	31	Part III : Bid Opening and Evaluation	<p>For each type of audit out of the mentioned 10 types, the following is the scoring pattern:</p> <ul style="list-style-type: none"> •15 marks – If bidder submits both 	How many marks will be awarded if one PO consist of multiple types from the mentioned audit types.	Please refer page no 30-31 of the EOI document for further clarification.

		Criteria (Technical Scoring Criteria – 4)	<p>Purchase Order and Completion Certificate for each type of mentioned audit types from 03 Scheduled Commercial Banks.</p> <ul style="list-style-type: none"> • 10 marks – If bidder submits both Purchase Order and Completion Certificate for each type of mentioned audit types from 02 Scheduled Commercial Banks. • 05 marks - If bidder submits both Purchase Order and Completion Certificate for each type of the mentioned audit types from 01 Scheduled Commercial Bank. 	E.g., One single PO consist of 5 out of 12 unique types of audits as mentioned. Will we be awarded 25 marks?	
6.	30	Part III : Bid Opening and Evaluation Criteria (Technical Scoring Criteria)	<p>NA</p>	<p>Please consider the below request: Request you to add financial capability clause in technical evaluation, since weightage is not given for financial capabilities of vendor.</p> <p>E.g., Vendor should have annual turn over of 5 Crores per year (Marks can be given as:</p> <ol style="list-style-type: none"> 1. 5 Marks if turnover is more than 5 Crores 2. 10 Marks if turnover is more than 10 Crores 3. 15 Marks if turnover is more than 15 Crores 4. 15 Marks if turnover is more than 20 Crores 	Clause stands as per RFP.

7.	Page No- 11	3 ELIGIBILITY CRITERIA	<p>Point 4 - The bidder should have an experience in the business of Information System auditing (IS Auditing) in India in at least last three years as of bid submission date Documentary evidence with relevant copies of Purchase Order along with Satisfactory Service Certificates / Completion Certificates in the last three years including names of clients with Phone and Fax numbers, E-Mail IDs etc.</p>	<p>Kindly confirm us total number of work to be issued each year in last 3 years.</p> <p>Several Organisations do not issue completion certificate. Hence, we suggest that in case completion certificate is not available, self declaration or Certificate from Statutory Auditor should be permitted. Or the payment done by the client for the bill raised as per the work order</p>	Please refer corrigendum
8.	Page No- 11	3 Eligibility Criteria	<p>The bidder should have Banks / Financial Institutions as their clients for IS Audit. The bidder must have completed at least one full cycle of System Audit in last two financial years, for a minimum of one (01) no. of Public / Private Sector Bank in India. The bidder should have conducted IS Audit in following areas: -</p> <ol style="list-style-type: none"> 1.Process Audit 2. Site Audit 3. VA/PT 4. Source Code Audit 5. Forensic Audit 6. Application Audit 7. Network Audit 8.Audit of Security devices/ Solutions/ Parameters at SOC 	<p>We kindly request that you modify the clause from "System Audit in the last two financial years" to "three years." Since the regulators have mandated that the auditor firm be replaced and given a two-year cooling-off period. Based on the changes the audit firm will be able to take part in this tender as a result.</p> <ul style="list-style-type: none"> • As per the scope of work mentioned we request you to kindly consider conducted IS Audit in following areas instead of 12 and consider 10 areas • The areas to be addressed in the SOW as required will not have 	Please refer corrigendum

			<p>like DAM, PIM, WAF, SIEM, APT etc.</p> <p>9. Database Audit 10. Migration Audit 11. Cloud Security Audit 12. SWIFT Audit</p> <p>The experience in aforesaid areas can be split across multiple Public / Private Sector Banks also.</p>	<p>every line item since the client specifies the scope of work according to their needs. Hence, when submitting the bid, please take into account several work orders.</p>	
9.	Page No - 21	28	<p>Integrity Pact</p>	<ul style="list-style-type: none"> • Kindly clarify whether the Integrity Pact must be submitted at the time of bidding or after the empanelment • Do we need to submit it on stamp paper? If yes then what would be the value of stamp paper 	<p>Duly stamped Integrity Pact (as per stamp act of respective state where document is signed) is to be submitted at the time of bidding.</p>
10.	Page Nos 30	Technical Scoring Criteria (Technical Evaluation Matrix)	<p>Point Nos 1</p> <p>The bidder must have completed at least one complete cycle of System Audit in last two financial years, for a minimum of one (01) no. of Public / Private Sector Bank in India.</p> <ul style="list-style-type: none"> • 20 marks – 4 or more Scheduled Commercial Banks. • 15 marks – 03 Scheduled Commercial Banks. • 10 marks – 02 Scheduled Commercial Banks. • 05 marks – 01 Scheduled 	<ul style="list-style-type: none"> • We kindly request that you modify the clause from "System Audit in the last two financial years" to "three years." Since the regulators have mandated that the auditor firm be replaced and given a two-year cooling-off period. Based on the changes the audit firm will be able to take part in this tender as a result. 	<p>Please refer corrigendum</p>

			Commercial Bank.		
11.	30	Technical Scoring Criteria (Technical Evaluation Matrix)	<p>Point Nos – 3</p> <p>The bidder must have completed at least one complete cycle of System Audit in last two financial years, for a minimum of one (01) no. of Public / Private Sector Bank in India.</p> <ul style="list-style-type: none"> • 20 marks – More than 5 years of experience. • 10 marks – Two to Five years of experience. • 05 marks – Two years of experience. 	<ul style="list-style-type: none"> • We kindly request that you modify the clause from "System Audit in the last two financial years" to "three years." Since the regulators have mandated that the auditor firm be replaced and given a two-year cooling-off period. Based on the changes the audit firm will be able to take part in this tender as a result. Also the marking systems states 20 marks – More than 5 years of experience. 	Please refer corrigendum
12.	Page 38	Technical Scoring Criteria (Technical Evaluation Matrix)	<p>Point 4</p> <p>The bidder should have conducted IS Audit in following areas: -</p> <ol style="list-style-type: none"> 1. Process Audit 2. Site Audit 3. VA/PT 4. Source Code Audit 5. Forensic Audit 6. Application Audit 7. Network Audit 8. Audit of Security devices/ Solutions/ Parameters at SOC like DAM, PIM, WAF, SIEM, APT etc. 9. Database Audit 10. Migration Audit 	<ul style="list-style-type: none"> • We kindly request that you modify the clause from "System Audit in the last two financial years" to "three years." Since the regulators have mandated that the auditor firm be replaced and given a two-year cooling-off period. Based on the changes the audit firm will be able to take part in this tender as a result. • As per the scope of work mentioned we request you to kindly consider conducted IS Audit in following areas instead of 12 and consider 10 areas 	<p>•Query Does not relate to the clause.</p> <p>•Please refer corrigendum</p>

		<p>11. Cloud Security Audit 12. SWIFT Audit</p> <p>The experience in aforesaid areas can be split across multiple Public / Private Sector Banks also. For each type of audit out of the mentioned 10 types, the following is the scoring pattern:</p> <ul style="list-style-type: none"> • 15 marks – If bidder submits both Purchase Order and Completion Certificate for each type of mentioned audit types from 03 Scheduled Commercial Banks. • 10 marks – If bidder submits both Purchase Order 	<ul style="list-style-type: none"> • The areas to be addressed in the SOW as required will not have every line item since the client specifies the scope of work according to their needs. Hence, when submitting the bid, please take into account several work orders. • Several Organisations do not issue completion certificate. Hence, we suggest that in case completion certificate is not available, self declaration or Certificate from Statutory Auditor should be permitted. Or the payment done by the client for the bill raised as per the work order 	<ul style="list-style-type: none"> • Point is already clear in clause. • Please refer corrigendum.
13.		Annexure	Can you provide the Annexure in word document	Annexures can be supplied in Word format on request.

Corrigendum

<u>Existing clause</u>	<u>Modified clause</u>
<p>Eligibility criteria point no-4</p> <p>“The bidder should have an experience in the business of Information System auditing (IS Auditing) in India in at least last three years as of bid submission date.”</p> <p>Proof of Documents required/ must be submitted</p>	<p>Eligibility criteria point no-4</p> <p>“The bidder should have an experience in the business of Information System auditing (IS Auditing) in India in at least last three years as of bid submission date”</p> <p>Proof of Documents required/ must be submitted</p>

<p>“Documentary evidence with relevant copies of Purchase Order along with Satisfactory Service Certificates / Completion Certificates in the last three years including names of clients with Phone and Fax numbers, E-Mail IDs etc.”</p>	<p>“Documentary evidence with relevant copies of Purchase Order along with Satisfactory Service Certificates / Completion Certificates/ Certificate from Statutory Auditor/ Proof of payment received along with invoices in the last three years including names of clients with Phone and Fax numbers, E-Mail IDs etc.”</p>
<p>Eligibility criteria point no-6</p> <p>“The bidder should have Banks / Financial Institutions as their clients for IS Audit. The bidder must have completed at least one full cycle of System Audit in last two financial years, for a minimum of one (01) no. of Public / Private Sector Bank in India. The bidder should have conducted IS Audit in following areas: -</p> <ol style="list-style-type: none"> 1.Process Audit 2. Site Audit 3. VA/PT 4. Source Code Audit 5. Forensic Audit 6. Application Audit 7. Network Audit 8.Audit of Security devices/ Solutions/ Parameters at SOC like DAM, PIM, WAF, SIEM, APT etc. 9. Database Audit 10. Migration Audit 11. Cloud Security Audit 12. SWIFT Audit <p>The experience in aforesaid areas can be split across multiple Public / Private Sector Banks also.”</p>	<p>“The bidder should have Banks / Financial Institutions as their clients for IS Audit. The bidder must have completed at least one full cycle of System Audit in last three financial years, for a minimum of one (01) no. of Public / Private Sector Bank in India. The bidder should have conducted IS Audit in any 10 out of following 12 areas: -</p> <ol style="list-style-type: none"> 1.Process Audit 2. Site Audit 3. VA/PT 4. Source Code Audit 5. Forensic Audit 6. Application Audit 7. Network Audit 8.Audit of Security devices/ Solutions/ Parameters at SOC like DAM, PIM, WAF, SIEM, APT etc. 9. Database Audit 10. Migration Audit 11. Cloud Security Audit 12. SWIFT Audit <p>The experience in aforesaid areas can be split across multiple Public / Private Sector Banks also.”</p>
<p>Technical Scoring Criteria point no-1</p> <p>“The bidder must have completed at least one complete cycle</p>	<p>“The bidder must have completed at least one complete cycle</p>

of System Audit in last two financial years, for a minimum of one (01) no. of Public / Private Sector Bank in India.”	of System Audit in last three financial years, for a minimum of one (01) no. of Public / Private Sector Bank in India.”
Technical Scoring Criteria point no-3 The bidder must have completed at least one complete cycle of System Audit in last two financial years, for a minimum of one (01) no. of Public / Private Sector Bank in India.	“The bidder must have completed at least one complete cycle of System Audit in last three financial years, for a minimum of one (01) no. of Public / Private Sector Bank in India.”
Part-III, Clause 2: Technical Evaluation (Pg-29 & 30) “Once the evaluation of technical proposals is completed, the bidders who score more than or equal to 120 marks in total (out of 200) and minimum 50% in each group of group-wise marks will only be short-listed. In case, none of the participating bidders qualify on technical criteria and reach or exceed the cut-off score of 60%, then the Bank, at its sole discretion, may relax the cut-off score to a lower value, which, in any case, should not fall below 55%. In case at least 2 participants are not found with score above 55%, the entire process would be cancelled and Bank reserved the right to go in for re-tendering process.”	“Once the evaluation of technical proposals is completed, the bidders who score at least 120 marks in total (out of 200) and minimum 50% in each group of group-wise marks will only be short-listed. In case, at least 2 participating bidders does not qualify on technical criteria and reach or exceed the cut-off score of 60%, then the Bank, at its sole discretion, may relax the cut-off score to a lower value, which, in any case, should not fall below 55%. In case at least 2 participants are not found with score above 55%, the entire process would be cancelled and Bank reserved the right to go in for re-tendering process.”
Existing Bid submission date and time: 15.12.2023, 4:00 PM Existing Bid Opening date and time: 15.12.2023, 4:30 PM	Modified Bid submission date and time: 26.12.2023, 4:00 PM Modified Bid Opening date and time: 26.12.2023, 4:30 PM