



Request for Proposal for empanelment of external agencies for conducting comprehensive IS Audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and Vulnerability Assessment and Penetration Testing (VAPT) of our RRBs DC/ DR/ NDR Site

Reference No. HO:RRB&RSETI:RRB:RFP:116/303 Date: 18.11.2024

**Bank of Baroda
RRB Cell
RRBs & RSETIs Department,
Head Office, Baroda Bhavan, Vadodara
18th November, 2024**

"For Annexures and Appendices details kindly visit www.bankofbaroda.in under tenders section"



Key Information on the RFP Response Submission

Request for Proposal for empanelment of external agencies for conducting comprehensive IS Audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and VAPT on need basis for a period of -3- years and may extend by a further period of 1 year post review to services rendered of our RRBs DC/ DR/ NDR Site.

[A] Important Dates:

#	Particulars	Timeline
1	RFP Issuance Date	18th November, 2024
2	RFP Coordinator	Mrs. Riti Pritesh Jani
	Email id	rbccl.bcc@bankofbaroda.co.in
	Address for Submission of Proposal	Chief Information Security Officer- RRBs, Head Office: RRBs & RSETIs Department, 4th Floor, Baroda Bhavan, RC Dutta Road, Alkapuri, Vadodara- 390007
3	SPOC Details	Surender Kumar (0265 231 6459) rbccl.bcc@bankofbaroda.co.in
4	Last date of Written request for clarifications Before the Pre- bid Meeting	05:00 PM on 25th November 2024 Bidder to submit a maximum of -2- participant's name, contact number, designation and e-mail ID for pre bid meeting on rbccl.bcc@bankofbaroda.co.in along with pre-bid queries.
5	Pre-bid Meeting	<ul style="list-style-type: none">➤ Pre bid meeting will be held online through Bank's Online Meeting Platform (i.e. Microsoft Teams) on 02nd December 2024 at 03:00 PM.➤ Meeting invite Link will be sent by the Bank to bidder's provided email IDs to join the Online Meeting as per the schedule mentioned above.➤ Bidder representatives will have to click the Bank provided link (provided in the e-mail) to join the on-line Pre-bid meeting
6	Last Date of Submission of RFP Response (Closing Date)	03:00 PM on 9th December 2024 Head Office: RRBs & RSETIs Department, 4th Floor, Baroda Bhavan, RC Dutta Road, Alkapuri, Vadodara- 390007
7	Eligibility Bid Opening Date/ time/ venue	04:00 PM on 9th December 2024 Head Office: RRBs & RSETIs Department, 4th Floor, Baroda Bhavan, RC Dutta Road, Alkapuri, Vadodara- 390007

Request for Proposal for empanelment of external agencies for conducting comprehensive IS Audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and VAPT of our RRBs DC/ DR/ NDR Site



8	Date of Technical Presentation	Eligible short-listed bidders may be invited for a presentation on the Technical Proposal at the discretion of the management. Date for the presentation will be communicated to the short-listed bidders, the Bank's decision is final in this regard.
9	Announcement of technical bid qualifiers and opening of commercial bid	The commercial bids of only those bidders will be opened who qualify in both eligibility and technical evaluation will be opened. The date for opening of the commercial bid would be communicated separately to the technically eligible bidders.
10	Bid Security (Earnest Money Deposit)	Rs. 2,00,000/- (Rupees Two Lakh Only) By electronic mode (NEFT/RTGS) or by Bank Guarantee issued by Scheduled Commercial Bank other than Bank of Baroda and should be valid up to 8 months (in the format given in Annexure 12) ➤ Account Number- 02000400000062 ➤ Account Name- Bank of Baroda, HO, Office Administration ➤ Branch- Baroda Bhavan Branch ➤ IFSC- BARB0ALKAPU Bidder has to credit EMD mentioning remark as RFP Ref. No. HO:RRB&RSETI:RRB:RFP:116/303

[B] Important Clarifications:

Following terms are used in the document interchangeably to mean:

Bank, BOB means 'Bank of Baroda'
RFP means the Request For Proposal document
Bank / RRB means, Regional Rural Bank (including Baroda Gujarat Gramin Bank, Baroda Rajasthan Kshetriya Gramin Bank and Baroda U. P. Bank)
Recipient, Respondent and Bidder and Vendor means "Respondent to the RFP Document".
Auditor/ Consultant would mean Auditing / Consulting firms, Service Provider
RFP means the "Current RFP Document"
ASP Means the "Application Service Provider"
DC Means the RRBs Data Centre at Mumbai
DR, DRS Means RRBs Disaster Recovery Site at Hyderabad
NDR Near DR Means RRBs Near Disaster Recovery Site at Vashi, Navi Mumbai
BFSI means Banking, Financial Services and Insurance
DRP Means the "Disaster Recovery Procedures"
SPOC Means Single Point Of Contact
SP Means Service Provider

Request for Proposal for empanelment of external agencies for conducting comprehensive IS Audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and VAPT of our RRBs DC/ DR/ NDR Site



Please Note:

The above dates are tentative and subject to change without any prior notice or intimation. Bidders should check website www.bankofbaroda.in under Tender Section for any changes / addendums to the above schedule and/or any other changes to this RFP. Vendor can contact through email to rbcell.bcc@bankofbaroda.co.in for any queries related to above mentioned schedule. Bank would not be responsible for any delayed/lack of update directly to the bidder. Bidders to confirm with Bank the time and venue -1- day prior to any of the above event.

1. Eligibility cum Technical bids will be opened in the presence of the bidder's representatives who choose to attend the opening of eligibility cum technical bid. No separate communication shall be sent in this regard. Subsequently, the Bank will evaluate the eligibility cum technical bids and the bidders shall be suitably intimated about outcome, after evaluation.
2. Commercial bids will be opened in the presence of the bidder's representatives, desirous to attend and are found qualified upon evaluation of the eligibility and technical bid by Bank.
3. Any bidder from a country which shares a land border with India will be eligible to bid in this tender only if the bidder is registered with the Competent Authority.
4. "Bidder" (including the term 'tenderer', 'consultant' or 'service provider' in certain contexts) means any person or firm or company, including any member of a consortium or joint venture (that is an association of several persons, or firms or companies), every artificial juridical person not falling in any of the descriptions of bidders stated hereinbefore, including any agency branch or office controlled by such person, participating in a procurement process.
5. "Bidder from a country which shares a land border with India" for the purpose of this Order means: -
 - A. An entity incorporated, established or registered in such a country; or
 - B. A subsidiary of an entity incorporated, established or registered in such a country; or
 - C. An entity substantially controlled through entities incorporated, established or registered in such a country; or
 - D. An entity whose *beneficial owner* is situated in such a country; or
 - E. An Indian (or other) agent of such an entity; or
 - F. A natural person who is a citizen of such a country; or
 - G. A consortium or joint venture where any member of the consortium or joint venture falls under any of the above.
6. The beneficial owner for the purpose of (5) above will be as under:
 - a) In case of a company or Limited Liability Partnership, the beneficial owner is the natural person(s), who, whether acting alone or together, or through one or more juridical person, has a controlling ownership interest or who exercises control through other means.
 - b)

Explanation—

- I. "Controlling ownership interest" means ownership of or entitlement to more than twenty-five percent of shares or capital or profits of the company;



- II. "Control" shall include the right to appoint majority of the directors or to control the management or policy decisions including by virtue of their shareholding or management rights or shareholders agreements or voting agreements;
- c) In case of a partnership firm, the beneficial owner is the natural person(s) who, whether acting alone or together, or through one or more juridical person, has ownership of entitlement to more than fifteen percent of capital or profits of the partnership;
- d) In case of an unincorporated association or body of individuals, the beneficial owner is the natural person(s), who, whether acting alone or together, or through one or more juridical person, has ownership of or entitlement to more than fifteen percent of the property or capital or profits of such association or body of individuals;
- e) Where no natural person is identified under (1) or (2) or (3) above, the beneficial owner is the relevant natural person who holds the position of senior managing official;
- f) In case of a trust, the identification of beneficial owner(s) shall include identification of the author of the trust, the trustee, the beneficiaries with fifteen percent or more interest in the trust and any other natural person exercising ultimate effective control over the trust through a chain of control or ownership.
- g) An Agent is a person employed to do any act for another, or to represent another in dealings with third person.
- h) The successful bidder shall not be allowed to sub-contract works to any contractor from a country which shares a land border with India unless such contractor is registered with the Competent Authority.

Confidentiality:

This document is meant for the specific use by the Company / person/s interested to participate in the current tendering process. This document in its entirety is subject to Copyright Laws. Bank of Baroda expects the bidders or any person acting on behalf of the bidders strictly adhere to the instructions given in the document and maintain confidentiality of information. The bidders will be held responsible for any misuse of information contained in the document, and liable to be prosecuted by the Bank in the event that such a circumstance is brought to the notice of the Bank. By downloading the document, the interested party is subject to confidentiality clauses.



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Bank of Baroda



Contents

1. Introduction	10
1.1 Introduction and Disclaimer	10
1.2 Information Provided	10
1.3 For Respondent Only	10
1.4 Confidentiality	10
1.5 Disclaimer	11
1.6 Eligibility Criteria	11
1.7 Costs Borne by Respondents	11
1.8 No Legal Relationship	11
1.9 Recipient Obligation to Inform Itself	11
1.10 Evaluation of Bids	11
1.11 Errors and Omissions	12
1.12 Standards:	12
1.13 Acceptance of Terms	12
2. Terms of the RFP Response	12
2.1 Lodgment of RFP Response	12
2.1.1 RFP Closing Date	12
2.2 Registration of RFP Response	12
2.3 Late RFP Policy	132
2.4 RFP Validity period	13
2.5 Contract period	13
2.6 Communication on the RFP	13
2.7 Notification	14
2.8 Disqualification	14
2.9 Language of Tender	14
2.10 Formats of Bids	14
2.11 Timeframe	14
2.12 RFP Response Submission Details	15
2.13 Contact Details for Responding to RFP	17

Request for Proposal for empanelment of external agencies for conducting comprehensive IS Audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and VAPT of our RRBs DC/ DR/ NDR Site



2.14	Earnest Money Deposit	17
2.15	Preference to make in india initiative	18
2.16	Exemption from submission of EMD	19
2.17	Performance Guarantee.....	19
2.18	Financial Proposal.....	19
3.	Terms of Reference.....	20
3.1	Introduction.....	20
3.2	Objectives of Floating RFP	21
3.3	Purpose	21
3.4	Project Scope & Deliverables	21
4.	Evaluation process	22
4.1	Opening of Eligibility & Technical Proposal.....	22
4.2	Preliminary Scrutiny.....	232
4.3	Technical Proposal evaluation criteria	23
4.4	Eligibility cum Technical Proposal.....	23
4.5	Commercial Bid Evaluation.....	23
5.	Terms and conditions	24
5.1	General.....	24
5.1.1	General Terms.....	24
5.1.2	Rules for Responding to this RFP	24
5.1.3	Price Bids	25
5.2	Others	26
5.3	Contract Commitment.....	32
5.4	Payment Terms	32
5.5	Sub-contracting	32
5.6	Service Level Agreement and Non-Disclosure Agreement.....	32
5.7	Penalties and Liquidated Damages.....	32
6.	General Terms and Conditions	33

Request for Proposal for empanelment of external agencies for conducting comprehensive IS Audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and VAPT of our RRBs DC/ DR/ NDR Site



6.1	Dispute Resolution	33
6.2	Governing Laws:	33
6.3	The bid submission by related parties:	34
6.4	Right to Reject Bids.....	34
6.5	Assignment	35
6.6	Waiver	35
6.7	Termination	35
6.8	Audit.....	35
6.9	Compliance with Laws.....	36
6.10	Corrupt and Fraudulent Practices:	36
6.11	Violation of Terms	37
6.12	Abide with the universal human rights and banks code of ethics	37
6.13	Authorized Signatory	37
6.14	Right to Reject proposals.....	37
6.15	Information Confidentiality	38
7.	Disclaimer	38

Request for Proposal for empanelment of external agencies for conducting comprehensive IS Audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and VAPT of our RRBs DC/ DR/ NDR Site



List of Annexures

Annexure 1 –Technical Proposal Covering Letter	39
Annexure 2 – Letter of Authorization to Bid	40
Annexure 3 & 3.1 & 3.2 – Eligibility Criteria, Technical Scoring, Profile.....	41
Annexure 4 –Approach, Methodology and Work Plan	47
Annexure 5 – Details of Deposit of EMD Deposit.....	48
Annexure 6 – Undertaking.....	49
Annexure 7 – Declaration for Conformity with Hardcopy Letter	50
Annexure 8 – Conformity Letter	51
Annexure 9 – Scope & Deliverable.....	52
Annexure 10 – Format for Bid Security Guarantee	80
Annexure 11 – Performance Guarantee	82
Annexure 12 – List of Certified Employees	85
Annexure 13 – Format for Bid Security Declaration Form MSEs	86
Annexure 14 – Declaration/ Undertaking for country sharing land border	87
Annexure 15 – SLA / NDA	89
Annexure 16 – Integrity Pact	103
Annexure 17 –Declaration for Information & Cyber security Controls	108
Annexure 18 –Declaration for compliance of Outsourcing of IT Services	109



1. Introduction

1.1 Introduction and Disclaimer

On behalf of its sponsored RRBs, Bank hereby invites responses from competent and CERT –In empanelled Firms for empanelment of Service Providers for Conducting comprehensive Information Security Audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and Vulnerability Assessment and Penetration Testing (VAPT) on need basis of our RRBs DC/ DR/ Near DR Site for a period of -3- years and may extend by a further period of 1 year post review of services rendered.

This Request for Proposal (RFP) document has been prepared solely for the purpose of enabling Bank of Baroda (“the Bank”) for empanelment of external agencies for the above assignment for assistance of RRBs and as such SPs agrees that Bank of Baroda shall not be liable for any transactions/outgoings out of such empanelment/contracts with RRBs arising thereof.

The RFP document is not a recommendation offer or invitation to enter into a contract, agreement or other arrangement in respect of the services. The provision of the services is subject to observance of selection process and appropriate documentation being agreed between the RRBs and any successful Bidders/ Firms as identified by the bank, after completion of the selection process as detailed in this RFP document.

1.2 Information Provided

The RFP document contains statements derived from information that is believed to be true and reliable at the date obtained 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 the Bank in relation to the provision of services. Neither the Bank nor any of its directors, officers, employees, agents, representative, contractors, or advisers gives any representation or warranty (whether oral or written), express or implied as to the accuracy, updating or completeness of any writings, information or statement given or made in this RFP document.

1.3 For Respondent Only

The RFP document is intended solely for the information of the party to whom it is issued (“the Recipient” or “the Respondent”) i.e. Government Organization / Public Sector Undertakings (PSU) / Limited Company or a partnership firm and no other person or organization.

1.4 Confidentiality

The RFP document is confidential and is not to be disclosed, reproduced, transmitted, or made available by the Recipient to any other person. The RFP document is provided to the Recipient on the basis of the undertaking of confidentiality given by the Recipient to the Bank. The Bank may update or revise the RFP document or any part of it. The Recipient

Request for Proposal for empanelment of external agencies for conducting comprehensive IS Audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and VAPT of our RRBs DC/ DR/ NDR Site



accepts that any such revised or amended document will be subject to the same confidentiality undertaking.

The Recipient shall not disclose or discuss the contents of the RFP document with any officer, employee, consultant, director, agent, or other person whether or not associated or affiliated in any way with the Bank or any of its customers or suppliers without the prior written consent of the Bank.

1.5 Disclaimer

Subject to any law to the contrary, and to the maximum extent permitted by law, the Bank and its directors, officers, employees, contractors, representatives, agents, and advisers disclaim all liability from any loss, claim, expense (including, without limitation, any legal fees, costs, charges, demands, actions, liabilities, expenses or disbursements incurred therein or incidental thereto) or damage, (whether foreseeable or not) (“Losses”) suffered by any person acting on or refraining from acting because of any presumptions or information (whether oral or written and whether express or implied), including forecasts, statements, estimates, or projections contained in this RFP document or conduct ancillary to it whether or not the Losses arises in connection with any ignorance, negligence, inattention, casualness, disregard, omission, default, lack of care, immature information, falsification or misrepresentation on the part of the Bank or any of its directors, officers, employees, contractors, representatives, agents, or advisers.

1.6 Eligibility Criteria

Service Providers who wish to bid should conform to the Eligibility criteria as per Annexure 3.

1.7 Costs Borne by Respondents

All costs and expenses (whether in terms of time or money) incurred by the Recipient / Respondent in any way associated with the development, preparation and submission of responses, including but not limited to attendance at meetings, discussions, demonstrations, etc. and providing any additional information required by the Bank, shall be borne entirely and exclusively by the Recipient / Respondent.

1.8 No Legal Relationship

No binding legal relationship will exist between any of the Recipients / Respondents and the Bank until execution of a contractual agreement to the full satisfaction of the BOB and its sponsored RRBs.

1.9 Recipient Obligation to Inform Itself

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

1.10 Evaluation of Bids

Request for Proposal for empanelment of external agencies for conducting comprehensive IS Audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and VAPT of our RRBs DC/ DR/ NDR Site



The evaluation of the bids will be done as per evaluation criteria mentioned in “Consultant’s Selection / Evaluation process” of this RFP document. The Bidders who do not qualify the Eligibility criteria as stipulated under Annexure 3 will not be considered for technical evaluation. A Bidder not eligible under Technical Bid will not be considered for opening of Commercial Bid.

However, each Recipient acknowledges and accepts that the Bank may, in its sole and absolute discretion, apply whatever criteria it deems appropriate in the selection of organizations, not limited to those selection criteria set out in this RFP document.

The issuance of RFP document is merely an invitation to offer and must not be construed as any agreement or contract or arrangement nor would it be construed as any investigation or review carried out by a Recipient. The Recipient unconditionally acknowledges by submitting its response to this RFP document that it has not relied on any idea, information, statement, representation, or warranty given in this RFP document.

Bidders satisfying the eligibility conditions (mentioned in Annexure-3) and General terms and conditions specified in this document and ready to provide the said “Services” in conformity with Scope of Work stipulated in Annexure-9, may submit their bid in the specified manner on or before the time line stipulated in the [A] Important Dates.

1.11 Errors and Omissions

Each Recipient should notify the Bank of any error, fault, omission, or discrepancy found in this RFP document but not later than last date of receiving clarifications.

1.12 Standards:

All standards to be followed will adhere to Bureau of Indian Standards (BIS) specifications or other/higher acceptable standards as decided by the Bank.

1.13 Acceptance of Terms

A Recipient will, by responding to the Bank’s RFP document, be deemed to have accepted the terms as stated in this RFP document.

2 Terms of the RFP Response

2.1 Lodgement of RFP Response

2.1.1 RFP Closing Date

RFP Response should be received by the officials indicated not later than 3:00 PM on 09th December, 2024 at Bank of Baroda as per the details given in this Section.

2.2 Registration of RFP Response

Registration of RFP response may be affected by the Bank by making an entry in a separate register kept for the purpose upon the Bank receiving the RFP response in the above manner. The response to RFP or tender duly signed must contain all documents,

Request for Proposal for empanelment of external agencies for conducting comprehensive IS Audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and VAPT of our RRBs DC/ DR/ NDR Site



information, and details required by this RFP. If the submission to this RFP does not include all the documents and information required or is incomplete or submission is through Fax mode, the RFP is liable to be summarily rejected.

All submissions, including any accompanying documents, will become the property of the Bank. The Recipient shall be deemed to have licensed, and granted all rights to, the Bank 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 who have registered a submission and to disclose and/or use the contents of the submission as the basis for any resulting RFP process, notwithstanding any copyright or other intellectual property right of the Recipient that may subsist in the submission or accompanying documents.

2.3 Late RFP Policy

RFP responses received after the deadline for lodgement of RFPs may be registered by the Bank and may be considered and evaluated by the evaluation team at the absolute discretion of the Bank. Respondents are to provide detailed evidence to substantiate the reasons for a late RFP submission. It should be clearly noted that the Bank has no obligation to accept or act on any reason for a late submitted response to RFP. The Bank has no liability to any Respondent who lodges a late RFP response for any reason whatsoever, including RFP responses taken to be late only because of another condition of responding.

2.4 RFP Validity period

RFP responses must remain valid and open for evaluation according to their terms for a period of at least six months from the RFP opening date.

2.5 Contract period

Post the evaluation process, the selected firm/s would be initially only empanelled by the Bank for its sponsored RRBs for conducting comprehensive IS Audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and VAPT of various applications of our RRBs DC/ DR/ NDR Site on need basis for a period of -3- years which may be extended by a further period of 1 year post review of services rendered.

2.6 Communication on the RFP

Recipients are required to address all communications/ clarifications/ queries, if any relating to the RFP in writing via email on or before the last date of receiving request for clarifications as per details provided in the RFP. The Bank will try to reply, without any obligation in respect thereof, every reasonable query raised by the Respondents in the manner specified. Any changes to the RFP will be communicated as Addendum to the RFP and will be published on the Bank's website under Tenders section. However, the Bank will not answer any communication initiated by the Respondents beyond the dates provided in "Key Information on the RFP Response Submission".



All questions relating to the RFP, technical or otherwise, must be in writing and addressed to the address mentioned in 2.13. Interpersonal communications will not be entertained into and a Respondent will be disqualified if attempting to enter into such communications.

The Respondent must communicate the same in writing prior to the pre-bid meeting latest by 25th November 2024, 3:00 PM. The Bank will try to reply, without any obligation in respect thereof, every reasonable query raised by the Respondents in the manner specified. However, the Bank may in its absolute discretion seek, but under no obligation to 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 invariably provide details of their email address as any clarifications required by the Bank against the responses to the RFP will only be communicated to the Respondent via email. If Bank in its sole and absolute discretion deems that the originator of the query will gain an advantage by a response to a question, then Bank reserves the right to communicate such response to all Respondents.

The Bank 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.

2.7 Notification

The Bank will notify the Respondents in writing through e-mail, immediately post completion of the RFP Evaluation on the outcome of the process. The Bank is not obliged to provide any reasons for any such acceptance or rejection.

2.8 Disqualification

Any form of canvassing/ lobbying/ influence will result in disqualification at the sole discretion of the bank.

2.9 Language of Tender

The RFP response prepared by the Bidder, as well as all correspondence and documents relating to the RFP exchanged by the Bidder and the Bank and supporting documents and printed literature shall be in English language only.

2.10 Formats of Bids

The bidder should use the formats prescribed by the Bank in submission of the RFP Response. The Bank reserves the right to ascertain information from the banks and other institutions to which the bidders have rendered their services for execution of similar projects.

2.11 Timeframe

The timeframe has been provided at the start of this document for the overall selection process. The Bank reserves the right to vary this timeframe at its absolute and sole discretion and without providing any notice/ intimation or reasons thereof. Changes to the

Request for Proposal for empanelment of external agencies for conducting comprehensive IS Audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and VAPT of our RRBs DC/ DR/ NDR Site



timeframe may be relayed to the affected Respondents during the process. The time schedule will be strictly followed. Interested parties are expected to adhere to these timelines. However, the Bank reserves the right to change the aforementioned timelines.

2.12 RFP Response Submission Details

Eligibility, Technical and Commercial bids shall be submitted in separate sealed sub-envelopes super scribing:

“ELIGIBILITY CUM TECHNICAL BID FOR BANK OF BARODA SPONSORED RRBs- RFP for empanelment of external agencies for conducting comprehensive IS Audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and VAPT of our RRBs DC/ DR/ NDR Site- **RFP REFERENCE NO.**
SUBMITTED BY ON AT VADODARA, DUE DATE”

VENDOR DETAILS:

NAME..... EMAIL ADDRESS.....CONTACT NUMBER.....on the top of the sub-envelope. The contents like Eligibility, Technical or Commercial should also be super scribed on envelop.

The Technical sub-envelope should also have the hard copy and CD/Pen Drive of Technical Bid content. The email address and phone numbers of the bidder shall also be indicated on sealed envelopes. All envelopes must be super scribed with the following information as well: Name of the bidder with contact number and email ID.

All documents pertaining to Technical Proposal Envelope should be completed and duly signed by the authorized signatory with the seal of the bidder.

The Technical Proposal should be made in an organized, structured and neat manner. Brochures/ leaflets should not be submitted in loose form. The format for submission of the Technical Proposal is as follows:

1. Offer covering letter as per Annexure 1
2. Letter for Authorization of Bids as per Annexure 2
3. Eligibility Criteria as per Annexure 3.
4. Approach, Methodology and work plan as per annexure-4
5. List of Certified Employees as per Annexure 12
6. Undertaking as per Annexure 6
7. Conformity with Hard Copy Letter as per Annexure 7
8. Conformity Letter as per Annexure 8
9. Comments on the Terms of Reference/ RFP
10. A copy of the RFP along with the addendum duly putting the seal and signature on all the pages of the document for having noted contents and testifying conformance of the terms and conditions, should be included in Envelope-1.
11. Details of Deposit of Earnest Money Deposit as per Annexure – 5 along with – UTR Details, Bank Details /Bank Guarantee. To qualify for EMD exemption the bidders who are MSME have to submit valid copy of registration certificate issued by NSIC / Udyam

Request for Proposal for empanelment of external agencies for conducting comprehensive IS Audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and VAPT of our RRBs DC/ DR/ NDR Site



- certificate which are valid on last date of submission of the tender documents along with “Bid Security Declaration” as per Annexure 13.
12. Declaration/ Undertaking from bidder regarding applicability of restrictions on procurement from a bidder of a country which shares a land border with India as per Annexure 14.
 13. Integrity Pact as per Annexure-16
 14. Declaration for Information & Cyber security Controls as per Annexure-17
 15. Declaration for compliance of Outsourcing of IT Services as per Annexure-18

Only Bidders that fulfil all the eligibility criteria as mentioned in the Annexure-3 are eligible to participate in this Bid. The Bidder should submit their responses along with documentary evidence and self-declaration, as required for the above eligibility criteria. Proposals of those bidders, who do not fulfil any of the eligibility criteria as stated in full, will be summarily rejected. Firms fulfilling the eligibility criteria will proceed to the next stage of the Technical Evaluation. The Bank’s discretion on ‘Eligibility Criteria’ is final.

All envelopes should be securely sealed and stamped. The authorized signatories of the Respondent should initial / sign on all pages of Eligibility and Technical Bids. Unsigned documents shall be out rightly rejected.

Note- All the support documents need to be submitted duly indexed / numbered sequentially.

The Technical Proposals should be complete in all respects and should contain all information as specified in the RFP. The Technical Proposal should indicate the ideas, solutions and processes suggested for the assignment.

All the relevant pages of the proposal are to be numbered and signed by an authorized signatory on behalf of the Firm. The number should be unique serial number across the document. The Bidder should provide documentary evidence of the authorised signatory for the purpose of this RFP.

Bidder will submit Demand Draft/ UTR No. of the payment/ Bank Guarantee in favor of Bank of Baroda payable VADODARA towards Earnest Money Deposit for Rs. 2,00,000/- (INR Two lakh only). The RFP response without accompanying the Demand Draft / UTR No. of the Payment / Bank Guarantee towards Earnest Money Deposit are liable to be rejected.

The above mentioned envelopes as indicated must be addressed to Chief Information Security Officer- RRBs and delivered to the following:

The RFP Co-ordinator
Chief Information Security Officer- RRBs
Bank of Baroda
RRBs & RSETIs Department
Head Office, 4th floor, Baroda Bhavan
R C Dutt Road, Alkapuri
Vadodara 390007

Request for Proposal for empanelment of external agencies for conducting comprehensive IS Audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and VAPT of our RRBs DC/ DR/ NDR Site



Only one submission of response to RFP by each Respondent will be permitted. The consortium is not allowed.

Note: Bidders can depute their representative (only one) to attend the Technical bid opening process. No separate intimation will be given in this regard to the Bidders for deputing their representatives for technical bid opening. Only those Bidders who qualify in the Technical Evaluation process will be invited for Commercial Bids opening.

Pre Bid Queries:

The Bidder should carefully examine, understand the scope and terms and conditions of the RFP and may seek clarifications, if required. The bidders in all such cases, seek clarification through e-mail in advance, in the same serial order of the RFP by mentioning the relevant Page number and clause number of the RFP. All communications regarding points requiring clarifications on doubts, if any, shall be given to the RFP Co-ordinator by the intending bidders before the timelines specified through e-mail communication.

2.13 Contact Details for Responding to RFP

RFP Coordinator

The Bank has established a RFP coordinator to provide a venue for managing bidder relationship and other requirements through the Bank's decision making body for contract clarification.

All the queries and communication must be addressed to the following RFP coordinator / contact personnel from the Bank:

Mrs. Riti Pritesh Jani, Chief Information Security Officer- RRBs, Bank of Baroda

Head Office: RRBs & RSETIs Department, 4th Floor, Baroda Bhavan, RC Dutta Road, Alkapuri, Vadodara- 390007, Tel – 0265-2316428, Email – rbcell.bcc@bankofbaroda.co.in

OR

SPOC

Mr. Surender Kumar, Officer IT, Bank of Baroda

Head Office: RRBs & RSETIs Department, 4th Floor, Baroda Bhavan, RC Dutta Road, Alkapuri, Vadodara- 390007, Tel – 0265-2316459, Email – rbcell.bcc@bankofbaroda.co.in

2.14 Earnest Money Deposit (EMD)

Bidders are required to give an earnest money deposit of an amount as mentioned in “[A] Important Dates” at the time of submission of the technical bid. The proof of same is to be submitted while opening of eligibility cum technical bid, failing of which the bid of the concerned bidder may be rejected. Bid Security (Earnest Money Deposit)” shall be paid through electronic mode or a Bank Guarantee (Annexure 10 – Bid Security Form) of an equal amount issued by a Commercial Bank (other than Bank of Baroda) located in India. This Bid-security is valid for 8 months and to be submitted through the electronic mode to the below mention account. The details of the account are as under.

➤ Account Number- 02000400000062

Request for Proposal for empanelment of external agencies for conducting comprehensive IS Audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and VAPT of our RRBs DC/ DR/ NDR Site



- Account Name- Bank of Baroda, HO, Office Administration
- Branch- Baroda Bhavan Branch
- IFSC- BARB0ALKAPU

Bidder has to credit EMD mentioning remark as RFP Ref. No. HO: RRB &RSETI: RRB: RFP: 116/303.

Non-submission of Earnest Money Deposit in the format prescribed in RFP will lead to outright rejection of the Offer. The EMD of unsuccessful bidders will be returned to them on completion of the procurement process. The EMD (Earnest Money Deposit) of successful bidder(s) will be returned on submission of Performance Bank Guarantee / security deposit.

The amount of Earnest money deposit would be forfeited in the following scenarios:

1. In case the bidder withdraws the bid prior to validity period of the bid for any reason whatsoever.
2. In case of the successful bidder, if the bidder fails or refuses to accept and sign the contract as specified in this document within 1 month of issue of contract order/letter of intent for any reason whatsoever; or
 - ❖ Fail To provide the performance guarantee within 30 days from the purchase order date, for any reason whatsoever.
 - ❖ To comply with any other condition precedent to signing the contract specified in the RFP documents.

Successful Empanelled Service Provider's – Empanelled Service provider has to deposit Rs. 2,00,000/- towards security deposit for entire period of empanelment plus 3 month. EMD can be adjusted against Security deposit. In case of Bid Security Guarantee, fresh guarantee to be issued for empanelment period plus 3 months. The EMD of the successful empanelled service provider may be forfeited or the bank guarantee in lieu of EMD may be invoked by the bank if the service provider fails to furnish Security deposit within 15 days from the date of empanelment by bank for any reason whatsoever and / or the service provider refuses to accept and sign the contract with in one month of issue of contract order / letter of intent for any reason whatsoever.

Unsuccessful Bidder's - Bid security money deposit or bank guarantee will be returned by the Bank within two weeks from closure of the RFP. No interest shall be paid on Bid security money deposit to unsuccessful Bidders.

2.15 Preference to make in India initiative

“Bank of Baroda will abide by Govt. of India Public procurement (preference to Make in India) order P-45021/2/2017-B.E.-II Dated 15th June 2017 as applicable to encourage ‘Make in India’ and to promote manufacturing and production of goods and services in India. In case the bidder wishes to avail preference to Make in India order 2017 in public procurement as applicable, bidder may provide self-certification of ‘Local content’ where ‘Local content’ means the amount of value added in India as a percentage of total value in percentage”.

Request for Proposal for empanelment of external agencies for conducting comprehensive IS Audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and VAPT of our RRBs DC/ DR/ NDR Site



2.16 Exemption from submission of EMD

Exemption from submission of EMD shall be given to bidders, who are Micro and Small Enterprises (MSE) / Start-ups. The bidders who are MSE / Start-ups has to submit necessary document issued by NSIC/DIPP/ Udyam Registration/ Registration with concerned Ministries / Departments which are valid on last date of submission of the tender document to avail the exemption. To qualify for EMD exemption, firms should necessarily enclose a valid copy of registration certificate issued by NSIC / DIPP / Udyam Registration / Registration with concerned Ministries / Departments. Bidder has to submit a "Bid Security Declaration" as per Annexure 13 on their organization's letter head duly signed and stamped by their authorized signatory accepting that if they withdraw or modify their bids during period of validity of the bid, or if they are awarded the contract and they fail to sign the contract, or fails to submit a performance security before the deadline defined in the request for proposal (RFP) document, they will be suspended or blacklisted.

2.17 Performance Guarantee

- During the period of empanelment, if the Bank/ RRBs award any audit to the Service provider, the bidder should furnish a Performance Guarantee (other than Bank of Baroda and its sponsored RRBs) as required by the Bank to the extent of 10% of the value of the order placed within 15 days of each such order. The performance guarantee would be for the entire period of the contract plus 3 month and such other extended period as the Bank/ RRBs may decide for due performance of the project obligations. The guarantee should be of that of a nationalized Bank or schedule commercial bank only, other than Bank of Baroda/ RRBs.
- In the event of non-performance of obligation or failure to meet terms of this Tender or subsequent agreement the Bank shall be entitled to invoke the performance guarantee without notice or right of demur to the Bidder.
- The Bank reserves the right to recover any dues payable by the selected Bidder from any amount outstanding to the credit of the selected Bidder, including the pending bills and/or invoking Performance Guarantee, if any, under this contract.
- If the Performance guarantee is not submitted within the stipulated time, the Bank/ RRB reserves the right to cancel the order / contract and the earnest money deposit taken from the Bidder, will be forfeited.

2.18 Financial Proposal

The financial quotes are not required to be submitted at the time of tender submission by the service providers. Financial quotations will be invited by the bank from empanelled service providers during the period of empanelment based on bank's requirements. Bank as a part of closed tendering process may ask the empanelled service provider to submit their commercials for the specified skills as per requirement of bank. Bank may request the service provider to expressly mention the manpower rate for specified skills required for assignment.

Those service providers who become empanelled and do not submit the commercial quotes on banks request, Bank will have discretion to disqualify the service provider from Request for Proposal for empanelment of external agencies for conducting comprehensive IS Audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and VAPT of our RRBs DC/ DR/ NDR Site



empanelment process and thereafter will not be eligible to participate in any of banks requirement during the empanelment period. The security deposit submitted by service provider will be forfeited.

Commercial quotes should be submitted as and when the same is invited by the bank in sealed envelope. The least cost service provider shall qualify as the L1 service provider. The service provider is expected not to add any conditions / deviation in the commercial bid. Any such condition / deviation may make the bid liable for disqualification.

The Financial Proposals should contain all relevant price information and should not contradict the Technical Proposal in any manner. There should be no hidden costs for items quoted. The offer must be made in Indian Rupees only and the offer should include all applicable taxes and other charges, excluding GST. The Bank is not responsible for the arithmetical accuracy of the bid.

The service provider will have to ensure all calculations are accurate. The Bank at any point in time for any reasons whatsoever shall not responsible for any assumptions made by the Firm. The Bank at a later date will not accept any plea of the Firm or changes in the commercial offer for any such assumptions.

3 Terms of Reference

3.1 Introduction

Bank of Baroda, a body corporate constituted under the Banking Companies (Acquisition & Transfer of Undertakings) Act 1970, having its Head Office at Mandvi, Baroda and Corporate Office at C-26, G-Block, Bandra Kurla Complex, Bandra East, Mumbai - 400051 (hereinafter referred to as the "Bank") which expression unless repugnant to the context or meaning thereof shall mean and include its successors and assigns), intends to issue this RFP document, hereinafter called RFP, to eligible Bidders, hereafter called as 'Bidders' or 'Bidder', to participate in the competitive bidding for empanelment of external agencies for carrying out `Comprehensive Audit of the IT Infrastructure, IS Audit of Applications/ Systems, Migration Audit of various Systems and VAPT implemented at the RRBs Data Centre, Mumbai, Disaster Recovery Centre, Hyderabad and Near Site, Mumbai for a period of three years and may extend by a further period of one year post review of services rendered for its RRBs.

Bank of Baroda has sponsored three (3) RRBs in states viz. (1) Uttar Pradesh (2) Rajasthan and (3) Gujarat with aggregate number of more than 3344 branches. A separate dedicated common DC, DR, NDR Infrastructure have been implemented in a co-location model which caters to all branches of Bank's three sponsored RRBs together under the common infrastructure setup.

Bank intends to empanelment of external agencies for conducting comprehensive IS Audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and Vulnerability Assessment and Penetration Testing (VAPT) of our RRBs DC/ DR/ NDR Site.

Request for Proposal for empanelment of external agencies for conducting comprehensive IS Audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and VAPT of our RRBs DC/ DR/ NDR Site



The selected service provider is required to provide the service at the locations mentioned above. **The SP will be responsible as per the scope and timelines outlined in the RFP.**

3.2 Objectives of Floating RFP

To improve the effectiveness of Controls in Applications/ Systems of the RRBs, Migration Audit of Systems and other IS Audit Related Services etc. by the way of consultation with the area specialists.

3.3 Purpose

The Bank, for this purpose, invites proposals from competent Firms who are interested in participating in this RFP and must fulfil the eligibility criteria mentioned under Annexure 03 and also in a position to comply with the technical requirement mentioned and submit the required proposal as per the RFP Apart from the above the Firm must also agree to all our terms & conditions mentioned under this RFP.

3.4 Project Scope & Deliverables

- A description of the envisaged scope is mentioned in Annexure-9. The activity list mention under each category is illustrative but not exhaustive. The activity list may undergo changes/ updates due to implementation of any new technology products, projects, configuration requirements, business needs, legal and regulatory requirements etc.
- Based on the contents of the RFP, the selected vendor shall be required to independently arrive at Approach and Methodology, based on globally acceptable standards and best practices, suitable for the Bank, after taking into consideration the effort estimate for completion of the same and the resource and the equipment requirements.
- The Bank expressly stipulates that the SP's selection under this RFP is on the understanding that this RFP contains only the principal provisions for the entire assignment and that delivery of the deliverables and the services in connection therewith are only a part of the assignment. The SP shall be required to undertake to perform all such tasks, render requisite services and make available such resources as may be required for the successful completion of the entire assignment at no additional cost to the Bank.

Bank of Baroda may at any time during the contract require the Bidder to revise the Services or Supplies including Completion Date. In an event of such nature, the Bidder to state in writing the effect of such variation will have on the work schedule. The Bidder shall furnish these details, in writing, in two weeks from the receipt of such request. Details of project deliverables are as mentioned in Annexure-9.

Service Providers who meet the eligibility and technical criteria would only qualify as empaneled Service Providers for a period of -3- years which may be extended by a further period of 1 year post review of services rendered.



During the empanelment period, Bank will provide scope of work for each assignment and ask for commercial quote from empaneled service providers within the given time frame. The least cost service provider shall qualify as the L1 service provider. The L1 service provider will be awarded contract at the discretion of the bank to execute that assignment.

Those Service providers who become empanelled and to not submit the commercial quotes on banks request, Bank will have discretion to disqualify the Service Provider from empanelment process and thereafter will not be eligible to participate in any of banks requirement during the empanelment period.

The service providers are required to provide service of comprehensive audit of IT Infrastructure deployed at DC, DR & Near site, Cyber Security Audit, Migration Audit of Systems and VAPT including but not limited to following services: Performance Testing, Optimisation Testing, High Availability Testing, Scalability Testing, Networking and Hardware Sizing & Configuration Testing with reference to the four core architectural principles- Performance, Scalability, High Availability, Investment Protection. The service providers will be responsible as per the scope and timelines outlined in the RFP.

Apart from the above the bidder must also agree to all our terms & conditions mentioned under this RFP.

4 Evaluation process

4.1 Opening of Eligibility & Technical Proposal

Proposals received within the prescribed date and time will be opened in the presence of the authorized representatives of the firms bidding who choose to attend the opening of the offer on the date and time specified in this RFP document. The Authorized representative of the firm having photo identification, present shall sign a register of attendance. The representative has to submit an authority letter duly signed by the firm, authorizing him to represent and attend the Bid opening on behalf of the firm.

4.2 Preliminary Scrutiny

The Bank will scrutinize the offers received to determine whether they are complete and as per RFP requirement. The eligibility of the firms will be evaluated as per the RFP terms of eligibility criteria. Further if the firm is found eligible, the proposals received by the Bank will be technically evaluated to arrive at the technical scoring as per the scoring methodology specified under the TECHNICAL PROPOSAL EVALUATION CRITERIA. The Bids which are securing the technical score of 70 or more marks out of a total of 100 marks are considered as technically qualified. The Bank however retains the right to lower the cut off score if adequate number of bids does not qualify with the minimum score specified above.

A list of the resources to be deployed for the assignment to be furnished with details of Name, Age, Qualifications, Experience and location in Annexure 12. During the course of the presentation, the Bank has the right to interview the personnel, to decide to deploy in the assignment or not. The Bank shall reserve the right to seek the change of Resource

Request for Proposal for empanelment of external agencies for conducting comprehensive IS Audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and VAPT of our RRBs DC/ DR/ NDR Site



personnel in case of need. The Bank reserves the right to review the decision of appointment of the Auditor at any point of time.

4.3 Technical Proposal evaluation criteria

Bank may call for a presentation before the Selection Committee of the Bank by the eligible firms on their understanding of the key considerations for IT Infrastructure Audit of (Data Centre/ Disaster Recovery Centre/ Near Site) of Bank of Baroda sponsored RRBs, proposed Methodology and Approach to be adopted for the Bank and the proposed team. The technical capabilities and competence of the Firm should be clearly reflected in the write-up. The date and time of the presentations, if required will be notified by the Bank; no changes in the schedule will be entertained thereafter.

Based on the details submitted by the Firms in the Technical Proposal and the write up/ presentation made by them before the Selection Committee of the Bank, the Technical Evaluation of the eligible Firms will be carried out as per annexure-3.1:

4.4 Eligibility cum Technical Proposal

Eligibility & technical criteria for the Bidder to qualify this stage is clearly mentioned in Annexure 3 & 3.1– Eligibility Criteria Compliance to this document. The Bidder would need to provide supporting documents as part of the eligibility proof. The Technical Proposal will also be evaluated for technical suitability.

During evaluation of the Tenders, the Bank, at its discretion, may ask the Bidder for clarification in respect of its tender. The request for clarification and the response shall be in writing, and no change in the substance of the tender shall be sought, offered, or permitted.

The Bank reserves the right to accept or reject any tender in whole or in parts without assigning any reason thereof. The decision of the Bank shall be final and binding on all the Firms to this document and the Bank will not entertain any correspondence in this regard.

4.5 Commercial Bid Evaluation

Service Providers who meet the above eligibility and technical criteria would only qualify as empanelled Service Providers for conducting comprehensive IS Audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and Vulnerability Assessment and Penetration Testing (VAPT) of our RRBs DC/ DR/ NDR Site. The Commercial Quotes are not required to be submitted at the time of tender submission by the Service providers. Commercial quotations will be invited by Bank from empanelled Service providers during the period of empanelment based on Bank's requirements. Bank as part of the closed tendering process may ask the empanelled Service provider to submit their manpower rate for the specified skills as per requirement of the project/ Bank.

Those Service providers who become empanelled and do not submit the commercial quotes on banks request, Bank will have discretion to disqualify the Service Provider from empanelment process and thereafter will not be eligible to participate in any of banks requirement during the empanelment period. The Security Deposit submitted by the Service provider will be forfeited.

Request for Proposal for empanelment of external agencies for conducting comprehensive IS Audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and VAPT of our RRBs DC/ DR/ NDR Site



Commercial quote should be submitted as and when the same is invited by the Bank in sealed envelope. The least cost Service provider shall qualify as the L1 Service Provider. The Service Provider is expected not to add any conditions/ deviations in the commercial bid. Any such conditions/ deviations may make the bid liable for disqualification.

5 Terms and conditions

5.1 General

5.1.1 General Terms

- 5.1.1.1 *The Bank expects the Firm to adhere to the terms of this RFP and would not accept any deviations to the same to prejudice to the Bank.*
- 5.1.1.2 *Unless expressly overridden by the specific agreement to be entered into between the Bank and the Firm, the RFP shall be the governing document for arrangement between the Bank and the Firm.*
- 5.1.1.3 *The Bank expects that the Firm appointed under the RFP shall have the single point responsibility for fulfilling all obligations and providing all deliverables and services required by Bank, preferably from a single point.*
- 5.1.1.4 *Unless agreed to specifically by the Bank in writing for any changes to the RFP issued, the Firm responses would not be incorporated automatically in the RFP.*

5.1.2 Rules for Responding to this RFP

- 5.1.2.1 *Last date for submission of bids is 09th December 2024.*
- 5.1.2.2 *All responses received after the due date/ time as mentioned in “**Key Information on the RFP Response Submission**” would be considered late and would be liable to be rejected.*
- 5.1.2.3 *All responses should be in English language. All responses by the bidder to this RFP document shall be binding on such bidder for a period of 180 days after opening of the bids.*
- 5.1.2.4 *All bid responses would be deemed to be irrevocable offers/ proposals from the Firms and may be accepted by the Bank to form part of final contract between the Bank and the selected Firm. Unsigned responses would be treated as incomplete and are liable to be rejected.*
- 5.1.2.5 *The bids once submitted cannot be withdrawn/ modified after the last date for submission of the bids unless specifically permitted by the Bank. In case, due to unavoidable circumstances, the Bank does not empanel within 180 days from the last date of the submission of the bids, and there is a possibility to empanel the same within a short duration, the Firm would have the choice to maintain the EMD with the Bank or to withdraw the bid and obtain the security provided.*
- 5.1.2.6 *The Firm may modify or withdraw its offer after submission, provided that, the Bank prior to the closing date and time receives a written notice of the modification or withdrawal prescribed for submission of offers. No offer can be modified or withdrawn by the Firm subsequent to the closing date and time for submission of the offers.*

Request for Proposal for empanelment of external agencies for conducting comprehensive IS Audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and VAPT of our RRBs DC/ DR/ NDR Site



5.1.2.7 It is mandatory to submit duly filled in details in the formats provided along with this document. The Bank reserves the right not to allow/ permit changes in the technical requirements and not to evaluate the offer in case of non-submission of the technical details in the required form at or partial submission of technical details.

In case of discrepancy in soft copy and hard copy of the bids, the Firm agrees that Bank will consider 'ORIGINAL' hard copy as final and it will be binding on the Firm. The Bank in this case may also reject the offer outright.

The Firm at no point of time can excuse themselves from any claims by the Bank whatsoever for their deviations in conforming to the terms and conditions and other schedules as mentioned in the RFP circulated by the Bank. The Firm shall be fully responsible for deviations to the terms & conditions etc. as proposed in the RFP.

If related parties (as defined below) submit more than one bid then both /all bids submitted by related parties are liable to be rejected at any stage at the Bank's discretion:

- a) Bids submitted by the holding Firm and its subsidiary
- b) Bids submitted by two or more Firms/ Partnership firms/ LLPs having common partners
- c) Bids submitted by two or more firms in the same group of promoters/ management
- d) Any other bid in the sole discretion of the Bank is in the nature of multiple bids.

5.1.3 Price Bids

The firm is expected to quote Price in Indian Rupees for the professional services and out of pocket expenses, and excluding GST. It may be noted that the Bank will not pay any other amount and other expenses like travel and accommodation etc. except the agreed professional fee and applicable GST. The Bank will pay the GST as per the rate applicable at the time of making payment. The TDS amount at prevailing rate shall be deducted from the Audit firm payments. The Audit firm shall take into account all conditions and difficulties that may be encountered during the course of assignment while quoting their fee.

5.1.3.1 Price Bids will be invited by Bank from empanelled Service providers only during the period of empanelment based on sponsored RRBs requirements. The date for opening of price bids would be communicated separately to the empanelled Service providers.

5.1.3.2 Bank based on its requirements shall call for price bid from the empanelled Service providers. The price bid should adhere to the following:

5.1.3.2.1 The service provider is requested to quote in Indian Rupees (INR). Bids in Currencies other than INR would not be considered.

5.1.3.2.2 The price and other related terms offered by Service providers must be firm for an acceptance period of 180 days from the opening of the commercial bid.

5.1.3.2.3 Terms of payment as indicated in the Purchase Contract on the selected Service Provider will be final and binding on the Service provider and no interest will be payable by

Request for Proposal for empanelment of external agencies for conducting comprehensive IS Audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and VAPT of our RRBs DC/ DR/ NDR Site



the Bank on outstanding amounts under any circumstances. If there are any clauses in the Invoice contrary to the terms of the Purchase Contract, the Service Provider should give a declaration on the face of the Invoice or by a separate letter explicitly stating as follows “Clauses, if any contained in the Invoice which are contrary to the terms contained in the Purchase Contract will not hold good against the Bank and that the Invoice would be governed by the terms contained in the Contract concluded between the Bank and the Service provider.”

5.1.3.2.4 The Service provider is required to quote for all the components/ services as per Bank’s requirements. In case the Service provider does not quote for any of the components/ services, the response would be deemed to include the quote for such unquoted components/ service at no extra cost to the Bank. The Bank shall ascertain and conclude that everything as mentioned in the RFP and future Bank’s requirements circulated to the Service providers and responded by the Service provider have been quoted for by the Service provider and there will be no extra cost associated with the same in case the Service provider has not quoted for the same.

5.1.3.2.5 In the event that Bank has not asked for any quotes for alternative prices, and the Service provider furnishes the alternative price in the Service provider’s financial bid, the higher of the prices will be taken for calculating an arriving at the Total Cost of Ownership. However, payment by the Bank will be made at the lower price. The Bank in this case may also reject the offer outright.

5.1.3.2.6 In the event optional prices are not quoted by the Service Provider, for items where such prices are a must and required to be quoted for the highest price quoted by any of the participating Service Provider will be taken as the costs, for such alternatives and also for arriving at the Total Cost of Ownership for the purpose of evaluation of the defaulting/ deviating Service provider. The same item has to be supplied by the Service provider free of cost.

5.1.3.2.7 The Bank is not responsible for any assumptions or judgements made by the Service Providers for arriving at any type of costing. The Bank at all times will benchmark the performance of the Service provider to the RFP and other documents circulated to the Service provider and the expected service levels as mentioned in these documents. In the event of any deviations from the requirements of these documents, the Service provider must make good the same at no extra costs to the Bank, in order to achieve the desired service levels as well as meeting the requirements of these documents. The Bank shall not be responsible for any assumptions made by the Service provider.

5.2 Others

- ▶ The RFP document is not recommendation offer to enter into a contract, agreement or any other arrangement, in respect of the services. The provision of the services is subject to observance of selection process and appropriate documentation being agreed between the Bank and any successful Bidder as identified by the Bank, after completion of the selection process as detailed in this document.
- ▶ Information Provided: The RFP document contains statements derived from information that is believed to be true and reliable at the date obtained but does not purport to provide

Request for Proposal for empanelment of external agencies for conducting comprehensive IS Audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and VAPT of our RRBs DC/ DR/ NDR Site



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 the Bank in relation to the provision of services. Neither the Bank nor any of its directors, officers, employees, agents, representative, contractors, or advisers gives any representation or warranty (whether oral or written), express or implied as to the accuracy, updating or completeness of any writings, information or statement given or made in this RFP document.

- ▶ For Respondent Only: The RFP document is intended solely for the information of the party to whom it is issued (“the Recipient” or “the Respondent”) and no other person or organization.
- ▶ Costs Borne by Respondents: All costs and expenses (whether in terms of time or money) incurred by the Recipient / Respondent in any way associated with the development, preparation and submission of responses, including but not limited to attendance at meetings, discussions, demonstrations, etc. and providing any additional information required by the Bank, will be borne entirely and exclusively by the Recipient / Respondent.
- ▶ No Legal Relationship: No binding legal relationship will exist between any of the Recipients / Respondents and the Bank until execution of a contractual agreement to the full satisfaction of the RRBs.
- ▶ Recipient Obligation to Inform Itself: The Recipient must apply its own care and conduct its own investigation and analysis regarding any information contained in the RFP document and the meaning and impact of that information.
- ▶ Evaluation of Offers: Each Recipient acknowledges and accepts that the Bank may, in its sole and absolute discretion, apply whatever criteria it deems appropriate in the selection of Bidder, not limited to those selection criteria set out in this RFP document.
- ▶ The issuance of RFP document is merely an invitation to offer and must not be construed as any agreement or contract or arrangement. The bidders unconditionally acknowledges by submitting its response to this RFP document that it has not relied on any idea, information, statement, representation, or warranty given in this RFP document.
- ▶ Acceptance of Terms: the bidders will, by responding to the Bank’s RFP document, be deemed to have accepted the terms as stated in this RFP document.
- ▶ Only one submission of response to RFP by each Respondent will be permitted.
- ▶ The Bank expects the Bidder to adhere to the terms of this tender document and would not accept any deviations to the same.
- ▶ The Bank expects that the Bidder appointed under the tender document shall have the single point responsibility for fulfilling all obligations and providing all deliverables and services required by Bank.
- ▶ Unless agreed to specifically by the Bank in writing for any changes to the issued tender document, the Bidder responses would not be incorporated automatically in the tender document.
- ▶ The Bank will notify the Respondents in writing as soon as practicable after the RFP Evaluation Complete date, about the outcome of the RFP evaluation process, including whether the Respondent’s RFP response has been accepted or rejected. The Bank is not obliged to provide any reasons for any such acceptance or rejection.

Request for Proposal for empanelment of external agencies for conducting comprehensive IS Audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and VAPT of our RRBs DC/ DR/ NDR Site



- ▶ All responses received after the due date/time as mentioned in “[A] Important Dates. Last Date of Submission of RFP Response (Closing Date)” would be considered late and would be liable to be rejected. E procurement portal will not allow to lodgement of RFP response after the deadline. It should be clearly noted that the Bank has no obligation to accept or act on any reason for a late submitted response to RFP. The Bank has no liability to any Respondent who lodges a late RFP response for any reason whatsoever, including RFP responses taken to be late only because of another condition of responding.
- ▶ The Bank has established RFP coordinators to provide a venue for managing bidder relationship and other requirements through the Bank’s decision making body for contract clarification. All the queries and communication must be addressed to the RFP coordinators / contact persons from the Bank mentioned in “[A] Important Dates - RFP Coordinator”.
- ▶ Recipients are required to direct all communications for any clarification related to this RFP to RFP Coordinator.
- ▶ All questions relating to the RFP, eligibility or otherwise, must be in writing and addressed to the addresses given in point “[A] Important Dates” above. Interpersonal communications will not be entered into and a Respondent will be disqualified if attempting to enter into such communications. The Bank will try to reply, without any obligation in respect thereof, every reasonable question raised by the Respondents in the manner specified.
- ▶ However, the Bank may in its absolute discretion seek, but under no obligation to 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 invariably provide details of their email address (as) as responses to queries will only be provided to the Respondent via email. If Bank in its sole and absolute discretion deems that the originator of the query will gain an advantage by a response to a question, then Bank reserves the right to communicate such response to all Respondents.
- ▶ The Bank 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.
- ▶ All submissions, including any accompanying documents, will become the property of the Bank. The bidder shall be deemed to have licensed, and granted all rights to, the Bank to reproduce the whole or any portion of their submission for the purpose of evaluation, to disclose the contents of the submission to other bidders who have registered a submission and to disclose and/or use the contents of the submission as the basis for any resulting RFP process, notwithstanding any copyright or other intellectual property right of the Recipient that may subsist in the submission or accompanying documents.
- ▶ All responses should be in English language. All responses by the bidder to this tender document shall be binding on such bidder for a period of 180 days after opening of the bids.



- ▶ The bidder may modify or withdraw its offer after submission but prior to the closing date and time as prescribed by Bank. No offer can be modified or withdrawn by the bidder subsequent to the closing date and time for submission of the offers.
- ▶ The bidders required to quote for all the components/ services mentioned in the “Project scope” and all other requirements of this RFP. In case the bidder does not quote for any of the components/services, the response would be deemed to include the quote for such unquoted components/service. It is mandatory to submit the details in the formats provided along with this document duly filled in, along with the offer. The Bank reserves the right not to allow / permit changes in the technical specifications and not to evaluate the offer in case of non-submission of the technical details in the required format or partial submission of technical details.
- ▶ In the event the bidder has not quoted for any mandatory items as required by the Bank and forming a part of the tender document circulated to the Bidder’s and responded to by the bidder, the same will be deemed to be provided by the bidder at no extra cost to the Bank.
- ▶ The Bank is not responsible for any assumptions or judgments made by the bidder for proposing the deliverables. The Bank’s interpretation will be final.
- ▶ The Bank ascertains and concludes that everything as mentioned in the tender documents circulated to the Bidder and responded by the Bidders have been quoted for by the Bidder, and there will be no extra cost associated with the same in case the Bidder has not quoted for the same.
- ▶ All out of pocket expenses, traveling, boarding and lodging expenses for the entire life of the contract should be a part of the financial bid submitted by the Bidder to the Bank. No extra costs on account of any items or services or by way of any out of pocket expenses, including travel, boarding and lodging etc. will be payable by the Bank. The Bidder cannot take the plea of omitting any charges or costs and later lodge a claim on the Bank for the same.
- ▶ Responses to this RFP should not be construed as an obligation on the part of the Bank to award a contract / purchase contract for any services or combination of services. Failure of the Bank to select a bidder shall not result in any claim whatsoever against the Bank. The Bank reserves the right to reject any or all bids in part or in full, without assigning any reason whatsoever.
- ▶ By submitting a proposal, the bidder agrees to contract with the Bank within the time period proscribed by the bank. Failure on the part of the successful bidder to execute an agreement with the Bank will relieve the Bank of any obligation to the bidder, and a different bidder may be selected based on the selection process.
- ▶ The terms and conditions as specified in the RFP and addendums (if any) thereafter are final and binding on the bidders. In the event the bidders not willing to accept the terms and conditions of the Bank, the bidder may be disqualified. Any additional or different terms and conditions proposed by the bidder would be rejected unless expressly assented to in writing by the Bank and accepted by the Bank in writing.
- ▶ The bidder shall represent and acknowledge to the Bank that it possesses necessary experience, expertise and ability to undertake and fulfil its obligations, involved in the performance of the provisions of this RFP. The bidder represents that the proposal to be submitted in response to this RFP shall meet the proposed RFP requirement. If any

Request for Proposal for empanelment of external agencies for conducting comprehensive IS Audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and VAPT of our RRBs DC/ DR/ NDR Site



services, functions or responsibilities not specifically described in this RFP are an inherent, necessary or customary part of the deliverables or services and are required for proper performance or provision of the deliverables or services in accordance with this RFP, they shall be deemed to be included within the scope of the deliverables or services, as if such services, functions or responsibilities were specifically required and described in this RFP and shall be provided by the bidder at no additional cost to the Bank. The bidder also acknowledges that the Bank relies on this statement of fact, therefore neither accepting responsibility for, nor relieving the bidder of responsibility for the performance of all provisions and terms and conditions of this RFP, the Bank expects the bidder to fulfil all the terms and conditions of this RFP.

- ▶ The bidder covenants and represents to the Bank the following:
 - ❖ It is duly incorporated, validly existing and in good standing under as per the laws of the state in which the entity is incorporated.
 - ❖ It has the corporate power and authority to enter into Agreements and perform its obligations there under.
- ▶ The execution, delivery and performance under an Agreement by bidder:
 - ❖ Will not violate or contravene any provision of its documents of incorporation;
 - ❖ Will not violate or contravene any law, statute, rule, regulation, licensing requirement, order, writ, injunction or decree of any court, governmental instrumentality or other regulatory, governmental or public body, agency or authority by which it is bound or by which any of its properties or assets are bound;
 - ❖ Except to the extent that the same have been duly and properly completed or obtained, will not require any filing with, or permit, consent or approval of or license from, or the giving of any notice to, any court, governmental instrumentality or other regulatory, governmental or public body, agency or authority, joint venture party, or any other entity or person whatsoever;
- ▶ The bidder shall undertake to provide appropriate human as well as other resources required, to execute the various tasks assigned as part of the project, from time to time.
- ▶ The Bank would not assume any expenses incurred by the bidder in preparation of the response to this RFP and also would not return the bid documents to the Bidders.
- ▶ The Bank will not bear any costs incurred by the bidder for any discussion, presentation, demonstrations etc. on proposals or proposed contract or for any work performed in connection therewith.
- ▶ Preliminary Scrutiny – The Bank will scrutinize the offers to determine whether they are complete, whether any errors have been made in the offer, whether required documentation has been furnished, whether the documents have been properly signed, and whether items are quoted as per the schedule. The Bank may, at its discretion, waive any minor non-conformity or any minor deficiency in an offer. This shall be binding on all bidders and the Bank reserves the right for such waivers and the Bank's decision in the matter will be final.
- ▶ Clarification of Offers – To assist in the scrutiny, evaluation and comparison of offers, the Bank may, at its discretion, ask some or all bidders for clarification of their offer. The Bank has the right to disqualify the bidder whose clarification is found not suitable to the proposed project.

Request for Proposal for empanelment of external agencies for conducting comprehensive IS Audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and VAPT of our RRBs DC/ DR/ NDR Site



- ▶ No Commitment to Accept Lowest bid or Any Tender – The Bank shall be under no obligation to accept the lowest price bid or any other offer received in response to this Tender notice and shall be entitled to reject any or all offers including those received late or incomplete offers without assigning any reason whatsoever.
- ▶ Erasures or Alterations – The offers containing erasures or alterations will not be considered. There should be no hand-written material, corrections or alterations in the offer. Technical details must be completely filled up. Correct information of the services being offered must be filled in. Filling up of the information using terms such as “OK”, “accepted”, “noted”, “as given in brochure / manual” is not acceptable. The Bank may treat the offers not adhering to these guidelines as unacceptable.
- ▶ Price Discussion – It is absolutely essential for the Bidders to quote the lowest price at the time of making the offer in their own interest. The Bank reserves the right to do price discovery and engage the successful bidder in discussions on the prices quoted.
- ▶ If the Bank is not satisfied with the specifications as specified in the tender document and observes major deviations, the bids of such bidders will not be short-listed for further evaluation. No further discussions shall be entertained with such bidders in respect of the subject bid.
- ▶ The Bidder shall perform its obligations under this Tender as an independent contractor, and shall not engage subcontractors to perform any of the Deliverables or Services without the prior permission from Bank. Neither this Tender nor the Bidder’s performance of obligations under this Tender shall create an association, partnership, joint venture, or relationship of principal and agent, master and servant, or employer and employee, between the Bank and the Bidder or its employees, subcontractor; and neither Party shall have the right, power or authority (whether expressed or implied) to enter into or assume any duty or obligation on behalf of the other Party.
- ▶ The Bidder shall solely be responsible for all payments (including any statutory payments) to its employees and / or sub-contractors and shall ensure that at no time shall its employees, personnel or agents hold themselves out as employees or agents of the Bank, nor seek to be treated as employees of the Bank for any purpose, including claims of entitlement to fringe benefits provided by the Bank, or for any kind of income or benefits. The Bidder alone shall file all applicable tax returns for all of its personnel assigned hereunder in a manner consistent with its status as an independent contractor of services; and the Bidder will make all required payments and deposits of taxes in a timely manner.
- ▶ RFP responses received after the deadline for lodgement of RFPs may be registered by the Bank and may be considered and evaluated by the evaluation team at the absolute discretion of the Bank. Respondents are to provide detailed evidence to substantiate the reasons for a late RFP submission. It should be clearly noted that the Bank has no obligation to accept or act on any reason for a late submitted response to RFP. The Bank has no liability to any Respondent who lodges a late RFP response for any reason whatsoever.



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Bank of Baroda



5.3 Contract Commitment

The Bank intends that the contract commitment, which is contemplated herein with the successful Firms, shall be for a period as defined by the Bank as per the specifications contained in this RFP.

5.4 Payment Terms

The auditor's fees will be paid in the following manner for each item/activity which will be described in the Financial Proposal at the time of each assignment:

1. 70% of the professional fee on the completion of the each of the projects and submission and acceptance of initial reports for management comment.
2. 30% of Payment after rectification/correction/implementation suggestions by the Service Provider and submission of the Final Compliance Audit report to the Bank.

All invoices will be paid by the sponsored RRBs within a period of 45 days from the date of receipt of undisputed invoices. Any dispute regarding the invoice will be communicated to the selected bidder within 15 days from the date of receipt of the invoice. After the dispute is resolved, Bank shall make payment within 30 days from the date the dispute stands resolved.

5.5 Sub-contracting

Sub-contracting is not permitted.

The selected service provider/ vender shall not subcontract or permit anyone other than its personnel to perform any of the work, service or other performance required under this project. In case any particular specialized service in the prescribed in the scope of work requires subcontracting, it need to be specified in the proposal/ response document with all the details of the work/ services. Please note that no work/services shall be subcontracted without the prior permission from the Bank in writing.

5.6 Service Level Agreement and Non-Disclosure Agreement:

- The successful bidder shall execute a) Service Level Agreement (SLA) and Non-Disclosure Agreement (NDA) (As per Annexure 15), which contained all the services and terms and conditions of the services to be extended as detailed herein. The successful bidder shall execute the SLA and NDA and provide the same along with acceptance of Purchase Order.
- All the expenses related to execution of the document such as the applicable stamp duty and registration charges if any shall be borne by the successful bidder.

5.7 Penalties and Liquidated Damages:

- A. The Bank will impose a penalty, of Rs. 50,000/- (INR Fifty thousand only) per week or part thereof, for delay in not adhering to the time schedules. If the selected Bidder fails to complete the due performance of the contract in accordance to the specifications and conditions agreed during the final contract negotiation, the Bank reserves the right either to cancel the contract or to accept performance already



made by the bidder. The Bank reserves the right to recover an amount equal to the value of contract by the Bank as Liquidated Damages for non-performance.

- B. Both the above are independent of each other and are applicable separately and concurrently.

However, the same would not be applicable for reasons attributable to the Bank and Force Majeure. However, it is the responsibility of the bidder to prove that the delay is attributed to the Bank and Force Majeure. The selected bidder shall submit the proof authenticated by the bidder to the Bank's official that the delay is attributed to the Bank and/or Force Majeure along with the bills requesting payment.

6 General Terms and Conditions

6.1 Dispute Resolution

- ❖ The Bank and the Bidder shall make every effort to resolve amicably, by direct informal negotiation between the respective project managers of the Bank and the Bidder, any disagreement or dispute arising between them under or in connection with this RFP.
- ❖ If the Bank Project Manager and Bidder Project Manager/ Director are unable to resolve the dispute within thirty days from the commencement of such informal negotiations, they shall immediately escalate the dispute to the senior authorized personnel designated by the Bidder and Bank respectively.
- ❖ If within thirty days from the commencement of such negotiations between the senior authorized personnel designated by the Bidder and Bank, the Bank and the Bidder are unable to resolve contractual dispute amicably, either party may require that the dispute be referred for resolution through formal arbitration.
- ❖ All questions, disputes or differences arising under and out of, or in connection with the contract or carrying out of the work whether during the progress of the work or after the completion and whether before or after the determination, abandonment or breach of the contract shall be referred to arbitration by a sole Arbitrator acceptable to both parties OR the number of arbitrators shall be three, with each side to the dispute being entitled to appoint one arbitrator. The two arbitrators appointed by the parties shall appoint a third arbitrator who shall act as the chairman of the proceedings.

The seat and place of arbitration shall be Vadodara. The Arbitration and Conciliation Act 1996 or any statutory modification/ amendment thereof shall apply to the arbitration proceedings.

The arbitral award shall be in writing, state the reasons for the award, and be final and binding on the parties. The award may include an award of costs, including reasonable attorneys' fees and disbursements. Judgment upon the award may be entered by any court having jurisdiction thereof or having jurisdiction over the relevant Party.

6.2 Governing Laws

The RFP and subsequent contract shall be governed and construed and enforced in accordance with the laws of India and both Parties shall agree that in respect of any dispute arising upon, over or in respect of any of the terms of this Agreement, only the courts in



Vadodara shall have exclusive jurisdiction to try and adjudicate such disputes to the exclusion of all other courts.

6.3 The bid submission by related parties:

If related parties (as defined below) submit more than one bid then both /all bids submitted by related parties are liable to be rejected at any stage at Bank's discretion:

- a) Bids submitted by holding company and its subsidiary company;
- b) Bids submitted by two or more companies having common director/s
- c) Bids submitted by partnership firms / LLPs having common partners
- d) Bids submitted by companies in the same group of promoters/management

In the case of software or hardware either the Indian agent on behalf of the principal or Principal itself can bid but both cannot bid simultaneously for the same solution in this tender. If an agent submits bid on behalf of the Principal, the same agent cannot submit a bid on behalf of another Principal/ in this tender for the same solution.

6.4 Right to Reject Bids:

Bank reserves the absolute and unconditional right to reject the response to this RFP if it is not in accordance with its requirements and no correspondence will be entertained by the Bank in the matter. The bid is liable to be rejected if:

- ▶ It is not in conformity with the instructions mentioned in the RFP document.
- ▶ It is not accompanied by the requisite Earnest Money Deposit (EMD).
- ▶ It is not properly or duly signed.
- ▶ It is received through Telex / telegram / fax
- ▶ It is received after expiry of the due date and time.
- ▶ It is incomplete including non- furnishing the required documents.
- ▶ It is evasive or contains incorrect information.
- ▶ There is canvassing of any kind.
- ▶ Submitted by related parties
- ▶ It is submitted anywhere other than the place mentioned in the RFP.

Further Bank reserves the rights to:

- ▶ Reject any or all responses received in response to the RFP
- ▶ Extend the time for submission of all proposals
- ▶ Cancel the RFP at any stage, without assigning any reason whatsoever.
- ▶ Visit the place of work of the bidder
- ▶ Conduct an audit of the services provided by the bidder.
- ▶ Ascertain information from the Banks and other institutions to which the bidders have rendered their services for execution of similar projects.
- ▶ Revise any part of the tender document, by providing a written addendum at any stage till the award of the contract. The Bank reserves the right to issue revisions to this tender document at any time before the award date. The addendums, if any, shall be published on Bank's website only.



6.5 Assignment

The Firm agrees that the Firm shall not be entitled to assign any or all of its rights and or obligations under this RFP and subsequent Agreement to any entity including the Firm's affiliate without the prior written consent of the Bank.

If the Bank undergoes a merger, amalgamation, takeover, consolidation, reconstruction, change of ownership, etc., this RFP along with the subsequent Addendums published shall be considered to be assigned to the new entity and such an act shall not affect the obligations of the Firm under this RFP.

6.6 Waiver

No failure or delay by any Party in exercising any right, power or privilege hereunder shall operate as a waiver thereof nor shall any single or partial exercise of any other right, power or privilege. No failure or delay on the part of either party relating to the exercise of any right power privilege or remedy provided under this RFP document or subsequent agreement with the other party shall operate as a waiver of such right power privilege or remedy or as a waiver of any preceding or succeeding breach by the other party nor shall any single or partial exercise of any right power privilege or remedy preclude any other or further exercise of such or any other right power privilege or remedy provided in this RFP document all of which are several and cumulative and are not exclusive of each other or of any other rights or remedies otherwise available to either party at law or in equity.

6.7 Termination

- Bank reserves the right to terminate this RFP at any stage without any notice or assigning any reason.
- At any time during the course of the RFP process or before the award of contract or after execution of the contract that one or more terms and conditions laid down in this Request For Proposal has not been met by the bidder or the bidder has made material misrepresentation/ suppression or has given any materially incorrect or false information. Bank may terminate his contract and may invoke performance bank guarantee or forfeit the security deposit as the case may be. Further bank may impose such restriction/s on the defaulting bidder as it deemed fit.
- After the award of the contract, if the selected bidder does not perform satisfactorily or delays execution of the contract, the Bank reserves the right to get the balance contract executed by another party of its choice by giving one month notice for the same, In such an event, the bidder is bound to make good the additional expenditure which the Bank may have to incur for the execution of the balance of the contract.

6.8 Audit

- All Service Provider records with respect to any matters covered by this Agreement shall be made available to auditors and or inspecting officials of the RRBs and/ or Reserve Bank of India and/ or any other regulatory authority, at any time during normal business hours, as often as the RRB deems necessary, to audit, examine, and make excerpts or transcripts of all relevant data. Said records are subject to examination. RRBs auditors would execute confidentiality agreement with the Service Provider provided that the

Request for Proposal for empanelment of external agencies for conducting comprehensive IS Audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and VAPT of our RRBs DC/ DR/ NDR Site



auditors would be permitted to submit their findings to the Bank, which would be used by the Bank. The cost of such audit will be borne by the RRBs. The scope of such audit would be limited to Service Levels being covered under the contract, and financial information would be excluded from such inspection, which will be subject to the requirements of statutory and regulatory authorities.

- The Bank/RRBs and its authorized representatives, including Reserve Bank of India (RBI) or any other regulator shall have the right to visit any of the Service Provider's premises without prior notice to ensure that data provided by the RRBs is not misused. The Service Provider shall cooperate with the authorized representative/s of the Bank/ RRBs and shall provide all information/ documents required by the Bank/ RRBs.

6.9 Compliance with Laws

Compliance in obtaining approvals/ permissions/ licenses: The Bidder 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. Also the bidder shall comply with the provisions of code of wages, and other labour welfare legislations. 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 there from. The Bank will give notice of any such claim or demand of liability within reasonable time to the Bidder.

The Bidder is not absolved from its responsibility of complying with the statutory obligations as specified above.

The Firm should adhere to laws of the land and rules, regulations and guidelines issued by the various Regulatory, Statutory and Government authorities in respect of Data Privacy and especially the guidelines issued by RBI with respect to outsourcing and protection of SPDI (sensitive personal data or information) as per IT (Amendment) Act 2008 including the provisions of the Information Technology Act, 2000 and the rules/regulations framed there under, such as the Information Technology (reasonable security practices and procedures and sensitive personal data or information) Rules, 2011 including that of Digital Personal Data Protection Act, 2023.

6.10 Corrupt and Fraudulent Practices

As per Central Vigilance Commission (CVC) directives, it is required that every participating bidders required to signed an integrity pact as per the annexure 16 of this RFP.

Every Bidders / Suppliers / Contractors are expected to observe the highest standard of ethics during the procurement and execution of such contracts in pursuance of the policy:

“Corrupt Practice” means the offering, giving, receiving or soliciting of anything of value to influence the action of an official in the procurement process or in contract execution

AND

Request for Proposal for empanelment of external agencies for conducting comprehensive IS Audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and VAPT of our RRBs DC/ DR/ NDR Site



“Fraudulent Practice” means a misrepresentation of facts in order to influence a procurement process or the execution of contract to the detriment of the Bank and includes collusive practice among Bidders (prior to or after bid submission) designed to establish bid prices at artificial non-competitive levels and to deprive the RRBs of the benefits of free and open competition.

The Bank reserves the right to reject a proposal for award if it determines that the Bidder recommended for award has engaged in corrupt or fraudulent practices in competing for the contract in question.

The Bank reserves the right to declare a firm ineligible, either indefinitely or for a stated period of time, to be awarded a contract if at any time it determines that the firm has engaged in corrupt or fraudulent practices in competing for or in executing the contract.

6.11 Violation of Terms

The Bank shall be entitled to an injunction, restraining order, right for recovery, suit for specific performance or such other equitable relief as a court of competent jurisdiction may deem necessary or appropriate to restrain the Firm from committing any violation or enforce the performance of the covenants, obligations and representations contained in this RFP. These injunctive remedies are cumulative and are in addition to any other rights and remedies the Bank may have at law or in equity, including without limitation a right for recovery of any amounts and related costs and a right for damages.

6.12 Abide with the universal human rights and banks Code of Ethics-

Successful Vendor/ Service Provider/ Supplier/ Consultant/ Contractor, who will be selected according to the service/ work/ project for which the proposal or quotation is invited shall comply with the Bank's Code of Ethics which is available on the Bank's website>Shareholder's Corner> Policies/Codes> Our Code of Ethics.

The successful bidder shall comply ESG, BRSR and other related parameters including the Declaration of Human Rights, Inclusive of those in the International Bill of Rights and Declaration of Fundamental Rights at work (1998) as per the International Labour Organization as well as the United Nations Guiding Principles on Business and Human Rights and the National Guidelines on Responsible Business Conduct

6.13 Authorized Signatory

The selected Firm shall indicate the authorized signatories who can discuss and correspond with the Bank, with regard to the obligations under the contract. The selected Firm shall submit, at the time of signing the contract, a letter signed by all the partners, authorizing an official or officials of the Firm or a Power of Attorney copy to discuss, sign agreements/contracts with the Bank. The Firms shall furnish proof of signature identification for above purposes as required by the Bank.

6.14 Right to Reject Proposals

The Bank reserves the absolute and unconditional right to reject the response to this RFP if it is not in accordance with its requirements and no correspondence will be entertained by the Bank in the matter. Proposals received from Respondents are liable to be rejected if:



- It is not in conformity with the instructions mentioned in the RFP document.
- It is not accompanied by the requisite Earnest Money Deposit (EMD).
- It is not properly or duly signed.
- It is received through e mail / fax.
- It is received after expiry of the due date and time.
- It is incomplete including non- furnishing the required documents.
- It is evasive or contains incorrect information.
- There is canvassing of any kind.
- It is submitted anywhere other than the place mentioned in the RFP.

6.15 Information Confidentiality:

This document is meant for the specific use by the Company / person/s interested to participate in the current tendering process. This document in its entirety is subject to copyright laws. Bank of Baroda expects the bidders or any person acting on behalf of the bidders to strictly adhere to the instructions given in the document and maintain confidentiality of information. The Bidders will be held responsible for any misuse of the information contained in the document and liable to be prosecuted by the Bank, in the event of such circumstances being brought to the notice of the Bank. By downloading the document, the interested party is subject to confidentiality clauses.

7 Disclaimer

Subject to any law to the contrary, and to the maximum extent permitted by law, the Bank and its directors, officers, employees, contractors, representatives, agents, and advisers disclaim all liability from any loss, claim, expense (including, without limitation, any legal fees, costs, charges, demands, actions, liabilities, expenses or disbursements incurred therein or incidental thereto) or damage, (whether foreseeable or not) ("Losses") suffered by any person acting on or refraining from acting because of any presumptions or information (whether oral or written and whether express or implied), including forecasts, statements, estimates, or projections contained in this RFP document or conduct ancillary to it whether or not the Losses arises in connection with any ignorance, negligence, inattention, casualness, disregard, omission, default, lack of care, immature information, falsification or misrepresentation on the part of the Bank or any of its directors, officers, employees, contractors, representatives, agents, or advisers.



Annexure 1 –Technical Proposal Covering Letter

(This letter should be on the letterhead of the Vendor duly signed by an Authorized Signatory as per Board Approval)

To,
The RFP Co-ordinator
Chief Security Information Officer- RRBs
RRB Cell, RRBs & RSETIs Dept., Bank of Baroda,
4th floor, Baroda Bhawan, R C Dutt Road, Alkapuri
Vadodara- 390007

REF: Your RFP: HO:RRB&RSETI:RRB:RFP:116/303 dated: 18.11.2024

Madam/ Dear Sir,

1. Having examined the Tender Documents including all Annexures, the receipt of which is hereby duly acknowledged, we, the undersigned offer to supply, deliver, implement and commission ALL the items mentioned in the 'Request for Proposal' and the other schedules of requirements and services for your bank in conformity with the said Tender Documents in accordance with the schedule of Prices indicated in the Price Bid and made part of this Tender.
2. If our Bid is accepted, we undertake to abide by all terms and conditions of this tender and also to comply with the delivery schedule as mentioned in the Tender Document.
3. We agree to abide by this Tender Offer for 180 days from date of Tender opening and our Offer shall remain binding on us and may be accepted by the Bank any time before expiry of the offer.
4. This Bid, together with your written acceptance thereof and your notification of award, shall constitute a binding Contract between us.
5. We undertake that in competing for and if the award is made to us, in executing the subject Contract, we will strictly observe the laws against fraud and corruption in force in India.
6. We certify that we have provided all the true and correct information requested by the bank in the format requested for. We also understand that the bank has the exclusive right to reject this offer in case the bank is of the opinion that the required information is not provided or is provided in a different format or found false or not true.

Yours faithfully,

Authorized Signatory as per Board Approval

Name:

Designation:

Vendor's Corporate Name

Address

Email and Phone #

Date:

Request for Proposal for empanelment of external agencies for conducting comprehensive IS Audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and VAPT of our RRBs DC/ DR/ NDR Site



Annexure 2 – Letter of Authorization to Bid

To,
The RFP Co-ordinator
Chief Security Information Officer- RRBs
RRB Cell, RRBs & RSETIs Dept., Bank of Baroda,
4th floor, Baroda Bhawan, R C Dutt Road, Alkapuri
Vadodara- 390007

Madam/ Dear Sir,

SUB: Authorization Letter for submitting bid documents.

REF: Your RFP: HO:RRB&RSETI:RRB:RFP:116/303 dated: 18.11.2024

This has reference to your above RFP for empanelment of external agencies for conducting comprehensive IS Audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and Vulnerability Assessment and Penetration Testing (VAPT) of our RRBs DC/ DR/ NDR Site for a period of -3- years and may extend by a further period of 1 year post review.

Mr / Ms _____ is hereby authorized to submit the bid documents and to sign the contract on behalf of our organization for all the services required by the Bank as called for the Bank's request for proposal vide above referred RFP on behalf of our organization. We confirm that the person so authorized above has digital signatures and confirm that all the prices quoted by him shall be binding on us. He/ She is also authorized to take decisions on behalf of the firm till RFP process is completed or thereafter.

Certified photocopy of Power of Attorney (POA) of the person authorizing such person is duly submitted.

We hereby extend our full guarantee and warranty as per Clauses of Contract for the goods and services offered for supply by the Firm against this RFP.

The specimen signature is attested below:

Specimen signature of the Representative

Signature of the Authorizing Authority

Name of the Authorizing Authority (Certified Xerox copy of POA of authorized Signatory/authority is to be submitted)

Note: This letter of authority should be on the letterhead of the principal on whose behalf the proposal is submitted and should be signed by a person competent and having the power of attorney to bind the principal. It should be included by the Firm in its proposal.

Request for Proposal for empanelment of external agencies for conducting comprehensive IS Audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and VAPT of our RRBs DC/ DR/ NDR Site



Annexure 03 - Eligibility Criteria

SNo.	Eligibility Criteria	Supporting Documents
A	General	
1	Bidder must be a Government Organization / PSU / PSE / partnership firm / LLP or private / public limited company in India at least for the last 5 years as on 30.09.2024.	Documentary Proof to be attached (Certificate of Incorporation)
2	Bidder must be providing IT Audit services to clients in India at least for the last 5 years as on 30.09.2024.	Any work order of period in reference.
3	The Bidder to provide information that any of its subsidiary or associate or holding company or companies having common director/s or companies in the same group of promoters/ management or partnership firms/ LLPs having common partners has not participated in the bid process.	Letter of confirmation from Bidder.
4	Bidder must not be blacklisted / debarred by any Statutory, Regulatory or Government Authorities or Public Sector Undertakings (PSUs / PSBs).	Letter of confirmation from Bidder.
5	Must have existence in India	Self- Declaration
B	Financial	
1	The Bidder must have registered a turnover of 10 Crores or above (from Indian Operations only) in each year during the last three completed financial years–2021-22, 2022-23 & 2023-24 (Not inclusive of the turnover of associate companies).	Audited Financial statements for the financial years 2021-22, 2022-23 & 2023-24. Certified letter from the Chartered Accountant. The CA certificate in this regard should be without any riders or qualification.
2	The Bidder must be Net profit making entity (from Indian operations only) continuously for the last three years that is financial years –2021-22, 2022-23 & 2023-24.	Audited Financial statements for the financial years 2021-22, 2022-23 & 2023-24. Certified letter from the Chartered Accountant. The CA certificate in this regard should be without any riders or qualification.
3	The bidder's Account should not have been declared as a Non Performing Asset (NPA) in the Books of any bank or financial institution.	A certificate to this effect should be obtained from the Auditor who has signed the Balance Sheet of the Bidders as on 31-03-2024.

Request for Proposal for empanelment of external agencies for conducting comprehensive IS Audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and VAPT of our RRBs DC/ DR/ NDR Site



C	Technical	
1	The Bidder to provide an undertaking on his letter head that all the technical features highlighted as part of Technical Scope are covered in totality in the proposal submitted by the bidder.	Letter of confirmation from Bidder
2	The bidder should be empanelled by CERT-In as Information Security Audit Organization and should remain in panel during the currency of contract.	Copy of Certificate
3	Should have conducted -1- IT Infrastructure Audit of Data Centre of Scheduled Commercial Banks/ RRBs, during last 3 years.	Copy of Purchase Order and Client certificate / Agreements
4	Should have conducted Application/ Migration/ Regulatory Compliance audits for at least -2- Scheduled Commercial Banks/ RRBs during last -3- years.	Copy of Purchase Order and Client certificate / Agreements
5	Must not be application implementer/ Solution providers, assistance providers for implementation with an alliance with System Integrator / System Implementer of Bank of Baroda and it's all -3- sponsored RRBs.	Self-declaration
6	The Bidder should have at least -04- professionals having valid certification of CISSP/CRISC/CISA/ CISM and -01- should be a CEH (Certified Ethical Hacker) for performing VAPT as full time employee and post qualification experience of at least 3 years.	Details to be provided in the annexure - 12

Authorized signatory as per Board Approval

Name:

Designation:

Bidder's Corporate Name & Address:

Email and Phone#



Annexure 3.1 Technical Scoring Criteria

Sr. No.	Criteria	Evaluation Parameters	Max Score
1	Application Audits completed (In the last 3 years) in any Scheduled Commercial Bank (SCB)/ RRB in India, BFSI Sector other than Banks in India.	Assignments completed in scheduled commercial Bank/ RRB: -4- Marks- per Bank per year. Assignments completed in BFSI Sector other than Banks -2- Marks- per Institute per year (Max Marks: 6)	20
2	Infrastructure Audits of Data Centre's completed (In the last 5 years) in any Scheduled Commercial Bank in India, BFSI Sector other than Bank in India.	Assignment completed in scheduled commercial Bank having 500 branches or more -3- Marks- per Bank per year. Assignment completed in scheduled commercial Bank having less than 500 branches/ BFSI Sector other than above -2- Marks- for per Bank/ Institute per year (Max Marks: 6)	15
3	End to end Data Migration Audit of CBS/ Application Migration Audit in any SCB, BFSI Sector other than Bank in India. (In last 5 years)	Assignment Completed in Scheduled Commercial Banks -5- marks for each assignment. Assignment completed in BFSI Sector other than Bank -2- marks for each assignment (Max Marks: 10)	15
4	IS Audit consultancy Services, Regulatory Compliance Audit viz. ISO Certification etc. (In the last 3 years) provided in any Scheduled Commercial Bank in India	-2.5- Marks- for each assignment completed	5
5	No. of Full Time Employee (CISA/ CISSP/ CISM/ CEH/ DISA/ CCNA/ ORACLE Certified/ ISO 27001 Lead Auditor) available for IS Audit in Organization	For each Resource having CISA/CISSP/ CISM Certificate -1- Marks- per resource For each CEH/ DISA/ CCNA/ ORACLE Certified Resource/ ISO 27001 Lead Auditor -0.5- Marks- per resource (Max Marks= 5)	15
6	Presentation cum interview to assess Methodology & Approach	1) Brief Company profile 2) Team Profile and Key Resources 3) Past experience in related projects	10

Request for Proposal for empanelment of external agencies for conducting comprehensive IS Audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and VAPT of our RRBs DC/ DR/ NDR Site



बैंक ऑफ़ बड़ौदा
Bank of Baroda



		1. Understanding of the scope 2. Methodology & Approach 3. Recommendations for improvements in-line with global practices.	20
	TOTAL MARKS		100

For Sr. No. 1-3: Assignment/ Work order copy should be provided by the firm

For Sr. No.4: A separate list of employees (Annexure-12) indicating their qualification should be provided

Note: For the purpose of evaluation, 'scheduled commercial banks' & RRBs in India excludes Co-operative Banks.



Annexure 3.2 Detailed Profile

To,

The RFP Co-ordinator
Chief Security Information Officer- RRBs
RRB Cell, RRBs & RSETIs Dept., Bank of Baroda,
4th floor, Baroda Bhawan, R C Dutt Road, Alkapuri
Vadodara- 390007

Madam/ Dear Sir,

Your RFP: HO:RRB&RSETI:RRB:RFP:116/303 dated: 18.11.2024

Having examined the above RFP including all Annexure, the undersigned submit following information and supporting document for technical evaluation.

COMPANY DETAILS	
Year of establishment of company	
Location of Registered Office	
Turnover of the firm (in crores) (Not inclusive of the turnover of associate companies)	2020-21: 2021-22: 2022-23 2023-24
Net profit in lacs (from Indian operations only)	2020-21: 2021-22: 2022-23 2023-24
CERT-In empanelment valid till	
No of Fulltime employees	
No of Part-time employees	

Experience – Infrastructure Audits (Last Five Years)		
Organisation / Company Name	From – To Date	Location
1.		
2.		

Assignment /Work order copy is attached herewith

Experience – Application Audits (Last Three Years)		
Organisation / Company Name	From – To Date	Location
1.		
2.		

Assignment /Work order copy is attached herewith

Request for Proposal for empanelment of external agencies for conducting comprehensive IS Audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and VAPT of our RRBs DC/ DR/ NDR Site



Experience – End to end Migration Audits (Last Five Years)

Organisation / Company Name	From – To Date	Location
1.		
2.		

Assignment /Work order copy is attached herewith

Experience – Cyber security Audit (Last Three Years)

Organisation / Company Name	From – To Date	Location
1.		
2.		

Assignment /Work order copy is attached herewith

Employees with professional certificate in the Firm

No of Full time CISA/CISSP/CISM :

No. of Full time CEH/DISA/CCNA/ORACLE Certified Resource/ ISO 27001 Lead Auditor employees :

Copy of Professional qualification certificates attached.

Signature of the Authorized Signatory as per Board Approval

Name:

Designation:

Name of the Firm:

Address:



Annexure 4 –Approach, Methodology and Work Plan

The Firm should submit the Approach, Methodology and work plan in one integrated document. It should highlight the proposed approach and methodology for delivery of the assignment proposed given the understanding of the Bank. The work plan should also cover ideas and ideas for institutionalization of change with clearly defined timelines, milestones and deliverables. Team structure and staffing pattern should be highlighted clearly in the light of the Bank's stipulation for deploying an experienced team with the requisite skill sets to deliver the scope of the assignment.

The project scope and timelines are as defined in the RFP.



Annexure- 5 Details of Deposit of EMD Deposit

SNo.	Particulars	Details
1	Name of the Bidder/Bidding Firm	
2	Date of Incorporation/ Formation	
3	Address of Registered Office	
4	Address for communication (with telephone number and email-id)	
5	Contact Person – Name & Contact No.	
6	Earnest Money Deposit (RTGS/ NEFT or BG) Enclosed	UTR Ref. No. : Amount..... Date:
7	Bank Account Details of Firm to facilitate refund of EMD through NEFT.	Bank Name : Bank A/c No : IFSC Code : A/c Type :

We confirm that all details mentioned and all information as stated herein are correct.

Signature of the Authorized Signatory

Name:

Designation:

Name of the Firm:

Address:



Annexure 6 – Undertaking

(This letter should be on the letterhead of the bidder duly signed by an Authorized Signatory as per Board Approval)

To,
The RFP Co-ordinator
Chief Security Information Officer- RRBs
RRB Cell, RRBs & RSETIs Dept., Bank of Baroda,
4th floor, Baroda Bhawan, R C Dutt Road, Alkapuri
Vadodara- 390007
RFP ref No.: HO:RRB&RSETI:RRB:RFP:116/303 dated: 18.11.2024

Madam/ Dear Sir,

Sub: RFP for empanelment of external agencies for conducting comprehensive IS Audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and VAPT of our RRBs DC/ DR/ NDR Site.

Having examined the RFPs including all Annexure and Appendices, the receipt of which is hereby duly acknowledged, we, the undersigned offer to supply, deliver, implement and commission ALL the terms mentioned in the “Request for Proposal” and the other schedules of requirements and services for Bank of Baroda in conformity with the said RFPs in accordance with the schedule of Prices indicated in the Price Bid and made part of this Tender.

1. If our Bid is accepted, we undertake to comply with the delivery schedule as mentioned in the RFP.
2. We agree to abide by this Financial Proposal for 180 days from the date of the Financial Bid opening and our Offer shall remain binding on us and may be accepted by the Bank any time before expiry of the offer.
3. This Bid, together with your written acceptance thereof and your notification of award, shall constitute a binding Contract between us.
4. We agree that the Bank is not bound to accept the lowest or any Bid the Bank may receive.
5. We certify that we have provided all the true and correct information requested by the Bank in the format requested for. We also understand that the Bank has the exclusive right to reject this offer in case the Bank is of the opinion that the required information is not provided or is provided in a different format or same founds incorrect or false.

Dated this.....by20

Yours faithfully,
Signature of the Authorized Signatory
Name:
Designation:
Name of the Firm:
Address:

Request for Proposal for empanelment of external agencies for conducting comprehensive IS Audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and VAPT of our RRBs DC/ DR/ NDR Site



Annexure 7 – Declaration for Conformity with Hardcopy Letter

(This letter should be on the letterhead of the bidder duly signed by an authorized signatory)

To,
The RFP Co-ordinator
Chief Security Information Officer- RRBs
RRB Cell, RRBs & RSETIs Dept., Bank of Baroda,
4th floor, Baroda Bhawan, R C Dutt Road, Alkapuri
Vadodara- 390007

RFP ref No.: HO:RRB&RSETI:RRB:RFP:116/303 dated: 18.11.2024

Madam/ Sir,

Sub: RFP for empanelment of external agencies for conducting comprehensive IS Audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and VAPT of our RRBs DC/ DR/ NDR Site.

Further to our proposal dated, in response to the Request for Proposal (Bank's tender No. here in after referred to as "RFP") issued by Bank of Baroda ("Bank") we hereby covenant, warrant and confirm as follows:

The soft-copies of the proposal submitted by us in response to the RFP and the related addendums and other documents including the changes made to the original RFPs issued by the Bank, conform to and are identical with the hard-copies of aforesaid proposal submitted by us, in all respects.

Yours faithfully,

Signature of the Authorized Signatory as per Board Approval

Name:

Designation:

Name of the Firm:

Address:



Annexure 8 – Conformity Letter

(This letter should be on the letterhead of the bidder duly signed by an authorized signatory)

To,
The RFP Co-ordinator
Chief Security Information Officer- RRBs
RRB Cell, RRBs & RSETIs Dept., Bank of Baroda,
4th floor, Baroda Bhawan, R C Dutt Road, Alkapuri
Vadodara- 390007

RFP ref No.: HO:RRB&RSETI:RRB:RFP:116/303 dated: 18.11.2024

Sir,

Sub: RFP for empanelment of external agencies for conducting comprehensive IS Audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and VAPT of our RRBs DC/ DR/ NDR Site.

Further to our proposal dated, in response to the Request for Proposal (Bank's tender No. hereinafter referred to as "RFP") issued by Bank of Baroda ("Bank") we hereby covenant, warrant and confirm as follows:

We hereby agree to comply with all the terms and conditions / stipulations as contained in the RFP and the related addendums and other documents including the changes made to the original RFPs issued by the Bank shall form a valid and binding part of the aforesaid RFP document. The Bank is not bound by any other extraneous matters or deviations, even if mentioned by us elsewhere either in our proposal or any subsequent deviations sought by us, whether orally or in writing, and the Bank's decision not to accept any such extraneous conditions and deviations will be final and binding on us. We declare that, all the information/ documents submitted is true and correct as to my/ our information and if found false/ not true I/ we are liable for the consequences of the same

Yours faithfully,

Signature of the Authorized Signatory as per Board Approval

Name:

Designation:

Name of the Firm:

Address:

Request for Proposal for empanelment of external agencies for conducting comprehensive IS Audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and VAPT of our RRBs DC/ DR/ NDR Site



Annexure 9 – Scope and Deliverables

Scope Document of RRBs in respect of Request for proposal for empanelment of service provider for conducting comprehensive Information System Audit and Vulnerability Assessment and Penetration Testing Bank of Baroda sponsored RRBs- Data Centre/Disaster Recovery Centre/ Near DR site.

Cyber Security Audit, Data Migration Audit and Regulatory Compliance Audit of the Bank of Baroda sponsored RRBs. Broad Scope given as under however detailed / final scope will be given at the time of actual allocation of Work:

A. Information System Audit and VAPT

Bank of Baroda intends to issue this RFP document for carrying out empanelment for Comprehensive Audit of the IT Infrastructure implemented and VAPT at the common RRB's Data Centre, Mumbai, Disaster Recovery Centre, Hyderabad and Near Site, Vashi, Navi Mumbai for a period of three years and may extend by a further period of year post review of services rendered.

Review / Audit of:

1. IT Infrastructure (Data Centre, Disaster Recovery Centre and Near DR Site)
2. Business Continuity Plan, Disaster Recovery and NDR Planning
3. Security Operations (DC,DR, NDR)
4. Applications Security Review & Secure Configuration Review of Servers/DB/OS
5. Vulnerability Assessment and Penetration Testing (VAPT)

1. IT INFRASTRUCTURE

1. (a) IT Infrastructure in DC, DR & Near DR Site

Service provider shall carry out a review to ensure IT Infrastructure compliance with an indicative but not exhaustive list of activities as listed below:

- Data Centre/Disaster Recovery Centre/Near DR site civil and interiors as per submitted layout
- Adequacy of server space in view of future requirement
- Access control facility
- Fire detection and prevention
- Fire protection system for server rooms
- Very Early smoke detection systems for server rooms
- Water leak detection systems for server rooms
- Electrical subsystem (main panel, cables, Power Distribution Unit (PDU) and earthing).
- Review of Electrical Power requirement and availability.
- UPS systems
- DG sets and Control of fuel
- Precision (computer room standard) Air-conditioning systems for server room
- Air-conditioning system for other relevant areas of DC
- Building management system software/ hardware (should cover Access controls for Passkeys, Compartmentalization, Creation and Review of Logs, Identification and Escort Requirements, Use of Cages / Rooms etc.)

Request for Proposal for empanelment of external agencies for conducting comprehensive IS Audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and VAPT of our RRBs DC/ DR/ NDR Site



- Closed circuit television system (CCTV) area for monitoring entry/exit points and strategic locations within the server room
- Structured cabling system for functional areas as per layout
- Environmental threat protection (Air Purifier, Humidity Control etc.)
- Review of operator awareness of physical security breaches
- Review of safeguards to mitigate risks associated with earthquake and water related threats
- Verification of Physical Security policy and review of authorization documentation on file for each individual who has card access to the data center.
- Review of License verification of all hardware, Software etc. on entry and exit in DC/Sufficiency of power sockets, patch panels
- Review of LAN cabling and inter device cabling connections, certifications
- Review of power consumption of the devices and optimize effectiveness
- Review of adequacy of physical Security (Guards, arms etc.)
- SP should review the workability of redundant setup in terms of power, load, cables, batteries, processes and verify the frequency of drills
- Verification of Data Center facility certification and documentations
- SP should review the entire facility and related documentation/evidences in support of verified points.

1 (b) Review of outsource of IT Operation (DC & DR) in compliance with IS Policy.

- Review the segregation of duties, review of assigned roles
- Review of Privileged Identity Management
- Review of adequacy of staff
- Review of reporting responsibility and periodicity of report
- Review of information sharing by bank's DC/DR team with outsourced service provider team.
- Review of work authorization system between outsourced service provider and bank's team
- Access Control, Customer Data Privacy & Confidentiality
- Review of list of third party vendors, contracts, SLAs, list of operations executed and integrated security.
- Review of AMC entered with OEMs.

1. (c) Management of Hardware

- Acquisition in DC/DR, installation, upgradation, Movement, usage and disposal procedures
- Server sizing processes - hard disk capacity, RAM, Processing power etc. as per requirements
- Review of procedures to proactively manage the servers, which would alert the administrator as, and when service of the DC/DR reaches the defined threshold before the failure occurs on the servers or devices to ensure uptime of the Data Centre
- Optimization of the Hardware in terms of deployment and performance
- Review of Preventive maintenance process
- Review of Backup procedures
- Review of Asset Management policy / Procedures
- Review of Asset management through implemented tools on site
- Review of Nomenclature, IP, Labelling and maintenance of assets
- Review of actual data vs written record

Request for Proposal for empanelment of external agencies for conducting comprehensive IS Audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and VAPT of our RRBs DC/ DR/ NDR Site



- Review of configuration and settings are fine-tuned for optimum performance.
- Review of system transition.
- Evaluate the infra deployment from high availability
- Evaluate the redundant setup for failover readiness and check for uniform configuration and policies
- Review of Hardware Inventories and Asset management including assets are properly documented, tagged and tracked throughout their lifecycle.
- Evaluate lifecycle management processes like procurement, deployment, maintenance and decommissioning, disposal procedures.
- Review the hardware configuration to ensure compliance with baseline security configurations.
- Review of Standardized hardware profile
- Assess firmware compliance, patch management process to receive regular patches for both security vulnerabilities and performance improvements
- Logical access control to assess only authorized personnel can access hardware configuration consoles and MFA is enforced
- HSMS assessment for encryption key management, access controls and security monitoring for deployed applications and potential integration.
- Hardware resources are optimally utilized and adequate planning in place for future growth
- Carry out performance testing to determine responsiveness and stability of the system for key performance metrics like but not limited to response time, system resource utilization, scalability, database performance, system stability etc.
- Carry out load testing to determine how the system behaves under normal and peak load conditions and ensure that system can handle expected data volumes, along with review of system's ability to recover from overload condition without any data loss or downtime.
- Review maintenance practices such as preventive measures, hardware diagnostics, health checks, load balancing.
- System handling sensitive or regulated data comply with relevant security standards of RBI, NABARD, PCI DSS, GDPR, ISO security.
- Review audit trails and logging to detect hardware failures, configuration changes, access attempts, updates
- Assess the organizations management of hardware vendors, contracts, SLAs, support agreements are in place and followed.
- Verify hardware maintenance contracts and warranties are up-to-date
- Review of adequacy of documentation from troubleshooting and compliance standpoint

1. (d) Management of System Software

- Software acquisition, installation, maintenance, updation of patches/security updates, development, storage, and change management is as per IT Security Policy.
- Carry out functionality testing to ensure that software meets the specified functional requirements like but not limited to login and user authentication, data and input validations, data integrity and security etc.
- Review of Patch management and up-gradation for servers, database, network devices etc. Evaluate critical patches and updates exist in the system. Verify effectiveness of automated patch management. Timely response to software security advisories.
- Review system compliance with configuration management policies and parameters are effectively deployed in DC and DR setup uniformly.
- Review of Setup and maintenance of operative system parameters. Verification with secured configuration documents.

Request for Proposal for empanelment of external agencies for conducting comprehensive IS Audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and VAPT of our RRBs DC/ DR/ NDR Site



- To Review setting of various parameters, updates thereof and actual working of them as intended and accurately.
- All the relevant security features available in the OS/DB/Network/Storage etc. are enabled/ taken advantage of as far as possible
- Review of User Controls, privileges, Retention, Changes, Hard coded use of root / administrative, generic and other Sensitive IDs and passwords.
- Review of passwords exempted from quarterly reset activity due to functional dependency.
- Review of access control and identity management to assess the effectiveness of access control mechanisms, including provisioning, de-provisioning and role based access to validate authorized personnel's access to critical systems and data.
- Review of Software licenses Management, processes for managing software licenses adhering to license agreements evaluating compliance with licensing terms for commercial software, subscription or renewal.
- Verify compliance with software licensing agreements so that usage does not exceed the number of purchase licenses. Evaluate Software licenses renewal and expiration dates. Review process of receiving alerts and action taken. Evaluate to avoid either over or under licensing.
- Assess software inventory to ensure all software assets are documented and tracked. Software assets are appropriately categorized by type (App/OS/DB/Utilities) and by criticality. Auditor to validate clear ownership and accountability for each software asset.
- Review of Standardized software profile to ensure uniformity in software versions, configurations, patches and reducing the likelihood of software related vulnerabilities or performance issues.
- Vulnerabilities in OS/DB/Enclosures/Network/Storage etc. are being taken care off. Compensatory controls for known vulnerabilities are in place
- Review of Operating system and Database Hardening and document verification of OS/DB Hardening.
- All patches are updated as and when released by vendor and control over patch management.
- Changes in system software are controlled in line with the organization's change management procedures. Proper record is maintained and authenticated regarding installation, it's up gradation, re-installation and maintenance.
- Review of change Management Process, reporting and measuring effectiveness identifying areas of improvements
- Use of sensitive system software utilities is in controlled manner and it is monitored and logged
- Review of compliance of existing change management process of updating the document after Change Management process has compliance status.
- Review of Performance monitoring (including Virtual Servers)
- Review of file permissions and controls w.r.t provision to users and suitability of such need for access
- Review of system transition.
- Review of preparedness to withstand failure/unavailability of support and other contingencies like obsolesce of software.
- Assess security controls in place for future cloud based software including encryption, access control, and secure APIs integration with system. Monitor cloud usage in terms of cost, security risks.
- Review Software Development Lifecycle Compliance (SDLC).
- Review coding practices, source code management, code scans vulnerability, use of secure coding guidelines.

Request for Proposal for empanelment of external agencies for conducting comprehensive IS Audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and VAPT of our RRBs DC/ DR/ NDR Site



- Review of processes for software change and release management, documentation, testing and approval for deployment
- Evaluate security of DevOps practices including continuous integration/continuous deployment. Verify code repositories are secure
- Third Party software compliance
- Review audit trails and logging
- Review decommissioning and Software retirement process. Risk assessment for End of Life
- Review of adequacy of documentation from troubleshooting and compliance standpoint
- Software practices are aligned with regulatory requirements in areas of data protection, cybersecurity and licensing

1. (e) Network Facility and Equipment Management

- Overall Network management
- Firewall rule optimization
- Review of NAC
- Review of Network device configurations
- Review of Network device access control
- Review of external/ internal firewall, IPS/IDS, Proxy traffic
- Network design- provides scalability, redundancy
- Review of IPv6 Readiness and functionality
- Review of network ports accessed according to the requirement
- Review of firewall setting and fine-tuning to highest security level
- Review of approval procedure for usage of prohibited ports with justification
- Network cabling is structured
- Current network and security posture of the WAN architecture
- IP addressing schemes and their allocations
- Physical and logical separation of the networks
- Network and security products and technologies deployed- Their usage and physical security
- Review of switches, routers configuration, scalability and port management.
- Network bottlenecks and performance issues
- Availability and quality of system documentation
- IP Sec implementation/ any other network level encryption.
- Real-time monitoring of network packets, which involves packet capture and analysis.
- Review of procedures adopted for:
 - ❖ Secured transmission of data through dialup / leased line/ VPN/VSATs etc.
 - ❖ Bandwidth management
 - ❖ Uptime of network- it's monitoring as per service level agreement
 - ❖ Fault management
 - ❖ Capacity planning
 - ❖ Performance management etc.
- Legal and Regulatory requirements
- Evaluate their installation, placement, configuration, security, policies defined in respective equipment for meeting the security requirement of the LAN and WAN and monitoring of their logs.
- Hardening of the equipment's like Router, Network Switch, IPS, IDS/Firewall and security devices
- Review and assessment of remote access system being used by the Bank for remote access at Data Centre.
- Recommendations to improve upon the security while accessing Data Centre resources remotely.

Request for Proposal for empanelment of external agencies for conducting comprehensive IS Audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and VAPT of our RRBs DC/ DR/ NDR Site



- Recommendations of remote access product keeping in view the Bank's infrastructure.
- Network Vulnerabilities and Threat Management.

1. (f) Database Management System and Data security:

- Use of Data Recovery System, Data Definition Language, Data Manipulation Language
- Storage of duplicate copy of data definition and DRS at off-site
- Monitoring of log of changes to the Data definitions
- Procedures to ensure that all data are classified in terms of sensitivity by a formal and explicit decision by the data owner and necessary safeguards for its confidentiality, integrity and availability are taken as per IT Security Policy.
- Logical access controls, which ensure the access to data is restricted to, authorized users.
- Confidentiality and privacy requirements are met
- Authorization, authentication and access control are in place
- Segregation of duties is ensured for accessing data
- Purging, Retention and archival of Data Files as defined by application owners
- Review of how the database integrity is ensured in case tables are not properly updated by application software due to various reasons i.e. break in link, bug in software etc. In case of direct updation /modification of database is done by opening the tables in live environment, evaluate the controls
- Protection of Sensitive Information during Transmission and Transport
- Separation of duties
- Rotation of duties
- Impact of backend updates
- Conduct an internal vulnerability assessment for reviewing the database security setting
- Audit-ability both at client side and server side including sufficiency and accuracy of event logging, SQL prompt command usage, Database level logging etc.
- Recovery, rollback and restart procedures
- Audit the data base systems security through automated security scans and manual reviews.
- To review table, partitioned and indexing etc. structures are as per application software requirements
- To segregate and classify the available data.
- Review of user privileges and validation of its usage.
- Review of Database Access Management.
- Review of configuration and parameter and provide suggestions for fine-tuned and optimum performance.
- Evaluate Data Classification and segmentation to review data classification policies for data to be stored on encrypted and secure systems with appropriate access control
- Review database management procedures, inventories, documentation. Relevant details pertaining to versions, usage, owners and criticality levels.
- DB environment classification and assess separate access controls and security measures are followed
- DB users access review with privileges, roles and permission
- DB configurations are set as industry best practices and policies. DB settings for performance optimization, storage allocation and security configurations such as role based access controls, default setting, hardening and resources limits are evaluated
- Standardized DBMS profiles are maintained across for consistency and reduce risk of misconfigurations
- Role Based Access Control (RBAC) is implemented

Request for Proposal for empanelment of external agencies for conducting comprehensive IS Audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and VAPT of our RRBs DC/ DR/ NDR Site



- User privileges and segregation of duties are set accordingly to principle of least privilege. Segregation of Administrator jobs and various other users
- Implementation of Multi factor Authentication to critical and sensitive DBS
- Data Encryption and data masking. Verify data transmitted between application and DBs or DBs and Storage Backup is encrypted using TLS/SSL or other secure protocols.
- Evaluate data masking or tokenization techniques to protect sensitive data in non-production environment who do not need full access to actual data
- Database recovery testing procedure is tested to confirm data can be quickly and accurately restored following an outage, failure or data breach
- Data integrity mechanisms such as data validation, referential integrity checks within DBMS, consistency across DB tables and relationships is maintained
- Review DB replication and High Availability, clustering, active-passive failover configuration
- DM Performance tuning, track resource usage, query execution timelines.
- Review security event logging and audit trails, logs are stored tamper-proof
- Evaluate regulatory data compliance, data retention policies, vulnerability management, DB patches and updates are applied in timely manner, version control and compatibility
- Sensitive and Confidential data is classified, protected and managed throughout its lifecycle.
- Evaluate the data archiving and purging strategies ensuring outdated or unused data is securely archived or purged based on retention policies, freeing up storage, resources and reducing stale data risks.

1. (g) Help Desk:

- Helpdesk facility, which provides first-line support and advice
- Prioritization of reported problems/calls
- Timely resolution of reported problems
- Problems and incidents are resolved, and the cause investigated to prevent any recurrence
- Incident handling
- Service Request management
- Trend analysis and reporting
- Development of knowledge base
- Root cause analysis
- Problem tracking and escalation with proper documentation
- Existence & maintenance of Audit trails of problems and solutions
- Management/ operations of Help Desk for monitoring, managing and reporting the faults, configuration, performance and accounting of the Bank's Wide Area Network, Servers installed in Data Centre and other locations across the network.
- Application support calls and its resolution
- End to end review of helpdesk performance, review of entire ticketing process and solutions provided.
- Multichannel support
- User satisfaction surveys
- KPI and performance dashboards
- Helpdesk staffing, training and shift management
- Service review meetings
- Helpdesk continuity
- Vendor management and third party escalation handling procedure
- Maintenance of knowledge base and documentation

Request for Proposal for empanelment of external agencies for conducting comprehensive IS Audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and VAPT of our RRBs DC/ DR/ NDR Site



1. (h) Storage Management and Backup

- Retention, purging/archival periods and storage terms are defined for:
- Documents
- Data
- Programs
- Reports
- Messages (incoming and outgoing)
- Keys, certificates used for their encryption and authentication
- Log files for various activities
- Policy and Procedures for purging of data
- Storage Technology Audit
- Review of Backup policy of various applications is in place and followed.
- Review of online and offline retention policy
- Review of backup policy to check data adequacy requirements
- Review of frequency of backup data defined and availability
- Review of user privileges and validation of access.
- Data Storage Infrastructure is managed effectively and in compliance with internal policies, industry standards and regulatory requirements
- Review of data retrieval and integrity
- All storage systems including ASM disks, NAS, SAN, CIFS protocol are assessed for effectiveness
- Evaluate for usage of storage and capacity planning, assess adequacy of storage resources to meet future needs.
- Review of monitoring the devices assessing capacity limits and performance
- Review storage configuration and Standardization. Verify redundancy configurations such as RAID levels, data mirroring or replication strategies and performance.
- Follow Standardized storage profiles for different types of data and systems including usage of tiered storage based on data criticality, performance and cost-efficiency
- Evaluate regularity in data integrity checks, error detection and correction mechanisms like checksums, hashing, file system integrity
- Review usage of data deduplication and compression techniques for optimization of capacity while maintaining data integrity
- Evaluate the processes do not result in data loss and corruption
- Review Backup policy compliance and its effectiveness
- Review Backup is in place for all the necessary application, OS, DB, and Configurations etc.
- Assess critical data is backed up regularly and in accordance with retention schedules
- Review frequency, type and storage locations of backups
- Review backups are through SAN or LAN and optimize
- Review backup and recovery procedures are regularly tested
- Review of offsite backup storage
- Review of access control mechanism
- Review of encryption standards and key management process of data at rest and in transit
- Evaluate data storage and protection techniques for personal data, financial records, and regulated data.
- Evaluate data retention policies are aligned with legal and regulatory requirement.
- Data Lifecycle Management is followed from data creation to deletion includes assessing policies on data aging, migration, archival and eventual disposal



- Evaluate data migration and archival processes to less frequently accessed data ensuring critical data remains accessible
- Comprehensive documentation of storage configurations, usage and management processes

1. (i) Media Storage

- Responsibilities for media (magnetic tape, cartridge, disks and diskettes) library management are assigned to specific members of the IT functionary
- Housekeeping procedures are designed to protect media library contents
- Standards are defined for the external identification of magnetic media and the control of their physical movement and storage to support accountability
- Procedures to assure that contents of its media library containing data are inventoried systematically, that any discrepancies disclosed by a physical inventory are remedied in a timely fashion and that measures are taken to maintain the integrity of magnetic media stored in the library.
- Review of media handling process and Media movement log
- Review of periodic Media testing and Offsite backup
- Review of labelling process of media storage
- Review of restoration process to check tape integrity
- Review of tape inventory at DC and DR
- Review comprehensive inventory of physical and digital storage media assets including servers, external drives, tapes etc.
- Review media lifecycle management from acquisition and provisioning to effective usage and performance catering to requirements
- Review lifespan of storage media for performance degradation, errors or failures and nearing end of life is identified and replaced
- Evaluate physical security controls to protect media and access restriction
- Data Integrity and recovery procedure is tested and data is retrieved accurately without damage or corruption
- Review of Sufficiency of storage media, appropriate tagging of the media, and media movement between data centres. Multiple copies stored on different media, different sites
- Redundancy adopted to ensure data is not lost.

1. (j) Inventory Maintenance

- Controls, which identify and record all IT assets and their physical location, and a regular verification program which confirms their existence
- IT assets classification
- Checking for unauthorized software
- Review of software inventory, method of maintenance and extraction of data
- Software storage controls
- Overall License management – OS/DB/Applications other devices/assets.
- Licenses for applications
- SSL and domain certificates validity and renewal
- Review of insurance, ESCROW
- Disposal of obsolete inventory
- Review of Antivirus
- AMC of Hardware / Software



- Review of licenses inventory management w.r.t. actual usage in RRB environment, highlight gap if any.
- Review sufficiency of various licenses procured against actual requirement, detailed records are maintained for software installations, usage rights, version control, license expiration
- Centralized Inventory maintained for Application, Servers, Database, OS
- Inventory for vendors and respective SLAs with AMC and ATC date tracker are associated with each asset and contact information is easily accessible for support, repairs or warranty claims
- Track warranty period of all assets and alerts are integrated
- Asset tagging and classification
- Reconciling physical assets with the inventory system and discrepancies are addressed
- Asset Lifecycle Management from acquisition and provisioning to decommissioning and disposal
- Real time monitoring, automated alert and notifications
- Preventive Maintenance schedules for hardware are logged and coordinated
- Asset health monitoring reports
- Audit trail for asset related activities such as adding, modifying or removing records.
- Tracking for End of Asset lifecycle planning
- Integration with ITSM and CMDB

1. (k) Others

- Review of console log activity during system shutdown and hardware/software re-installation
- Review of Operational procedure for Data centre
- Review of Documented processes related to Data Centre
- Review of Infra- related process documentation, installation, commissioning, decommissioning etc.
- Review of Day Begin and End process
- Personnel scheduling- Shift hand-over process
- Review of operator log to identify variances between schedules and actual activity
- Use of Internet/e-mail
- Review of remote desk top Management/Net meeting/FTP/SFTP etc.
- Review of antivirus
- Review of Data Leak Protection
- Review of Antivirus, desktop patching softwares and functionality and fine-tune to the highest security
- HIDS/ NIDS Log Monitoring
- Adherence to Legal & Statutory Requirements.
- Review of server/DB File permissions and folders to restrict any user other than the owner to modify the content of file/folder
- Review of users privileges, groups.
- Review of all services and applications which have been outsourced by Bank to third party vendors.

1. (l) Process Management Review

- Review of Installation Procedure
- Review of Maintenance Procedure
- Review of Release Procedure

Request for Proposal for empanelment of external agencies for conducting comprehensive IS Audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and VAPT of our RRBs DC/ DR/ NDR Site



- Review of User Management and user privileges procedure
- Review of Tracking Procedure
- Review of Handover procedure
- Review of Incident Management Procedure
- Review of Change Management Procedure
- Review of Problem Management Procedure
- Review of IT Security Risks highlighted to customer and actions taken
- Review of Risk tracker, assessment of deviations and provide related inputs
- Review of Anti Phishing Monitoring Process
- Review of SLA
- Review of Security document and guidelines followed at the site
- Review of ISMS policy, other policies
- Review of technical architecture and operations docs, Standard operating procedures followed, application architecture and integration documents.
- Review of DLP controls in the environment
- Optimization of workflows, efficient utilization of resources
- As-is and to-be process mapping
- Process automation and optimization techniques
- Addressing bottleneck
- Process monitoring and measurement with KPIs, real time integration and process dashboards
- Continuous Process improvement, feedback loops
- Compliance and risk identification and mitigation
- Process ownership and governance
- Process integration between cross departmental channels
- Process documentation and reporting

1. (m) Domain Controller / AD/ Exchange Mail security – RRB

- Review to ensure that all Windows Servers are under Domain
- Review of USB Policy application
- Review of domain controller policy
- Review of Exchange mail gateway and mail security policy and suggest the highest security settings.
- Review of Administrator ID being used by branches to login into Bank Domain
- Review of users logging with their own domain id vs using others domain id
- Review to ensure all assets are in domain
- Review e-mail server specific controls
- Review of spam, spoofed e-mail and methods to prevent.
- Review of AD security, report on % of users using passwords which comply by the standard of organization but are highly prone to dictionary attacks. Passwords like Welcome@1, P@ssword123 etc.
- Review of DMARC, SPF controls implemented.
- Management of authentication with an Active Directory environment.
- Handling of login requests, user/group permissions
- Review Global Catalogs settings and read only DCs in the configuration where necessary
- Review Active Directory Integration and management of users, devices and security settings
- Review design of AD forests, domains and organizational unit
- Review architecture effectiveness to meet future needs

Request for Proposal for empanelment of external agencies for conducting comprehensive IS Audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and VAPT of our RRBs DC/ DR/ NDR Site



- Evaluate user authentication and SSO
- Assess group policy objects for enforcement of policies and restrictions in domain wide configurations
- Audit GPOs
- Review security patches and updates
- Review Tracking of changes in user accounts, GPOs and other domain activities
- Review domain controller replication between different physical locations without conflicts
- Review process for creating, updating and deactivating user accounts, accounts are aligned with roles with predefined templates
- Evaluate Role-Based Access Control, group management, distribution list and follow the principle of least privilege
- Review logical OU structure aligning with organizations business unit, delegation of administration and effectiveness of GPOs.
- Assess replication between AD and Domain Controllers functions, data consistency across all domains
- Security best practices for AD such as Multi factor authentication for privileged accounts, Ad schema and tiered admin access
- Review of account lockout policies for unauthorized access preventions
- AD auditing for changes, GPO modification
- Review DNS services, replication, and authentication traffic. Alerts for replication failures, performance and login spikes
- Evaluation of exchange server architecture and setup including Mailbox and clients access
- Review mailbox creation and management policies
- Configuration of mailboxes as per user roles, storage limit and retention policies
- Effectiveness of anti-spam and anti-malware protection for message filtering
- Review email encryption for sensitive communications and data protection regulations
- Review mobile device management for users accessing emails on mobile
- Evaluate conditional access policies, device management policies
- Backup and recovery process for restoring emails and mailboxes in case of data loss and corruption
- Review HA through Database Availability Groups
- Review of e-mail flow w.r.t. sending, receiving or delays in message delivery
- Alert for abnormal behaviour, high rejection rates or unusual traffic pattern
- Review mailbox usage and storage consumption. Adequate resources are available to handle future traffic and growth
- Review email archiving and retention policies, e-discovery searches
- Review of client access to exchange services through Outlook, web and mobile devices

1. (n) Staff Training

- Personnel procedures and responsibilities including system and cross-functional training
- Segregation of duties
- Quality of Human resources /appointment process of vendors
- Placement of capability resources w.r.t qualifications, experience, assigned job profile and expertise. Highlight discrepancies
- Review of Domain wise trainings provided to individual users and its effectiveness.
- Skill Gap analysis
- Role based assessment
- Core competencies and training program

Request for Proposal for empanelment of external agencies for conducting comprehensive IS Audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and VAPT of our RRBs DC/ DR/ NDR Site



- Workshop and Seminars
- Cybersecurity training
- Training material, knowledge assessment and certifications

2. Business Continuity Plan & Disaster Recovery Planning:

Service Provider would be required to review Bank's BCP and DRP to validate BCP/DRP in terms of its adequacy, effectiveness, efficiency, activation ability and reliability taking into consideration.

- Review of DRP Process
- Review of DC/DR/NDR setup and functionality with reference to data recovery
- Review of NDR processes
- Site Review (DRC/ Near Site)
- Review Business Flows
- Review of Resource priority for recovery and recovery time objectives
- Review of Business Continuity Strategy
- Review of adequacy Disaster Recovery Plan and Business Continuity Plan
- Review of BCP & DRP for DC/DR
- Review of achieved vs. projected result
- Review of process of business continuity objective
- Review of submission of test result to board
- Identify Individual Point of failure
- Review of Maximum Time Outage of each application
- Review of Business Impact Analysis
- Review of Risk Assessment of organization to identify the complexity of the threats and vulnerabilities and analyse business impact analysis. Identify critical business functions and processes
- Review of RPO and RTO
- Review of financial and operational impact
- Recommendations of processes to achieve robust BCP
- Review of setup efficiency in case of site failure.
- Strategy for continuity of business functions after disruption
- Restoration of IT infrastructure systems
- Review implementation of redundancy and high availability
- Review of emergency response planning, incident response procedures
- Effectiveness of DC and DR and DC and NDC Drill
- Review sufficiency of holistic coverage of IT systems, business operations, resources, customer services and supply chain continuity

3. Security Operations (DC-DR-NDR)

- Review of Information System infrastructure/devices/implementation (Eg, VA: Nessus, Correlation tools, IPS/IDS, SIEM, syslog and any other devices used at the RRB site)
- Review of Security incident management processes
- Monitoring of syslog traffic from a managed Cisco router
- Monitoring of logs (i.e. trace log, CDCI Logs, fatal logs, archive logs, SU logs, Syslog, alert log, last log, application log, Security log, System log, File retention logs, file replication service log, DNS Logs, IDS log, AIPS Logs, event Log, access log, ISS log, AV Log etc.)
- Review SLA Management process For Security incidents
- Review the configuration parameters

Request for Proposal for empanelment of external agencies for conducting comprehensive IS Audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and VAPT of our RRBs DC/ DR/ NDR Site



- Review of adequacy of staff
- Review of reporting responsibility and periodicity of report
- Review of information sharing by bank's DC/DR team without source service provider team.
- Review of work authorization system between outsource service provider and bank's team
- Access Control, Customer Data Privacy & Confidentiality
- Review of security equipments both in hardware and software deployed at the RRB site.
- Review of security threats received, events occurred. Documentation procedure of source, root cause and prevention technique.
- Detection of breaches/ incidents and maintenance of records.
- Review of admin / super users' rights and privileges.
- Review of assigned roles as per deployment.
- Gap analysis of Cyber Security Framework
- Review of Vulnerability Index for Cyber Security (VICS) as prescribed by NABARD
- Sufficiency of logs for all levels and scope for forensics
- Review of protocols/ services being used by all the applications
- Privilege identity Management, data leak protection and suggest methods other than tools.
- Rogue application discovery.
- Carry out forensic investigation for any incident in the Bank during the duration of the contract which will include but will not be limited to Incident categorization, impact evaluation, evidence collection, analysis and investigation, root cause and attack vector identification, and submit detailed report of the incident.

4. Application Security Review & Secure Configuration Review of Servers/ DB/ OS

- Application Architecture with respect to the bank's business / operational requirements and policies
- Review the application documentation, SOP and technical manuals and address the gaps.
- Review of Input Processing and Output controls and conduct various tests to verify existence and effectiveness of controls. Review adequacy and completeness of controls.
- Review / audit security measures for CIA
- Review Logical access control, as. Review of all types of Application Level Access Controls, Password Policy, Account Policy restrictions, encryption of data, user maintenance and credentials including proper controls for access logs and audit trails for ensuring Sufficiency & Security of Creation, Maintenance and Backup of the same-to check as per bank's IT security policy.
- Authorization mechanism and control (Maker checker, exceptions, Overriding exception & Error condition etc.)
- Review of defining purging and archival policies for respective applications Databases, its effectiveness and frequency to optimize performance.
- Review of related data available online and offline
- Controls over automated processing / updating of records
- Review of the functioning of automated scheduled tasks, batch processes, output reports design, reports distribution etc.
- Review of all controls including boundary controls, input controls, communication controls, database controls, output controls and interfaces controls from security perspectives

Request for Proposal for empanelment of external agencies for conducting comprehensive IS Audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and VAPT of our RRBs DC/ DR/ NDR Site



- Review of documentation for formal naming standards, design process for job roles, activity, groups and profiles, assignment, approval and periodic review of user profiles, assignment and use of super user access
- Review of Hard coded user-id and password.
- Review application access control matrix and recertification process.
- Review effectiveness and efficiency of the Applications
- Audit of management controls including system configuration/ parameterization development. Complete Review of Application Parameterization.
- Review of segregation of roles and responsibilities with respect to application software to improve internal controls
- Review of customizations done to the software and adherence to the SDLC policy followed for such customization.
- Review of access given to various employee of vendor/service provider
- Mechanism deployed by vendor and resolution including re-testing and acceptance. Proposed change management procedure during conversion, migration of data, version control etc.
- Adherence to Legal & Statutory Requirements
- Audit of application interfaces with other systems or interface of other system with application
- Interface controls - Application interfaces with other applications and security in their data communication. Whether the interface access is secure enough from penetration by internal /external users.
- Review controls in relation with those Application Integrated with other applications either in house or third-party application through Web services or Host to Host etc.
- Understanding inherent weakness in Applications which can be exploited to Bank's disadvantage
- Application-level risks at system and data-level including system integrity risks, system-security risks, data risks & system maintainability risks
- Auditing, both at client side and server side, including sufficiency and accuracy of event logging, SQL prompt command usage, Database level logging etc.
- Backup/fall-back/Restoration procedures and contingency planning along with documentation
- Adequacy of hardening of all Servers and review of application of latest patches supplied by various vendors for known vulnerabilities as published by CERT-In, SANS etc.
- Source Code Review for in house developed applications
- Sufficiency and coverage of UAT test cases
- Review of all types of Application Level Access Controls, Password Policy, Account Policy restrictions, encryption of data, user credentials including proper controls for access logs and audit trails for ensuring Sufficiency & Security of Creation, Maintenance and Backup of the same- to check as per bank's IT security policy.
- Broad details of count of Infrastructure deployed at RRB DC/DR/NDR for IS Infrastructure Audit:

Device Type/	Quantity	Quantity	Quantity	Quantity	Platform
Components	(DC)	(DR)	(TnD)	(NDR)	
Servers	34	31	0	0	ESX
	8	8	0	0	UNIX
	93	75	15	0	Windows

Request for Proposal for empanelment of external agencies for conducting comprehensive IS Audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and VAPT of our RRBs DC/ DR/ NDR Site



	190	186	57	6	Linux
Database	38	38	35	0	Oracle
	14	13	3	0	MS SQL
	3	3	1	0	PostgreSQL
Storage Devices	8	8	0	3	Storage/ SAN/ Switch/ SMA/ Tape Lib/ MSA
Network Devices	40	50	0	4	Firewall, Call Manager, load Balancers, Routers, Switches, Array Load balancer
Security Devices	10	10	0	0	IPS/ Nessus/ HSM/Cisco/Checkpoint
Applications	35	35	0	0	CBS and Non - CBS
GRAND TOTAL	465	449	111	13	

5. Vulnerability Assessment and penetration testing (VAPT)

VAPT should be comprehensive but not limited to following activities:

- Network Scanning
- Port Scanning
- System Identification & Trusted System Scanning
- Vulnerability Scanning
- Malware Scanning
- Spoofing
- Scenario Analysis
- Application Security Testing & Code Review
- OS Fingerprinting
- Service Fingerprinting
- Access Control Mapping
- Denial Of Service (DOS) Attacks
- DDOS Attacks
- Authorization Testing
- Lockout Testing
- Password Cracking
- Cookie Security
- Functional validations
- Containment Measure Testing
- War Dialling
- DMZ Network Architecture Review
- Firewall Rule Base Review
- Server Assessment (OS Security Configuration)
- Security Device Assessment
- Network Device Assessment
- Database Assessment
- Website Assessment (Process)
- Vulnerability Research & Verification
- IDS/IPS review & Fine tuning of Signatures
- Man in the Middle attack
- Man in the browser attack
- Any other attacks

Request for Proposal for empanelment of external agencies for conducting comprehensive IS Audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and VAPT of our RRBs DC/ DR/ NDR Site



- Website/ Web – Application Assessment: Website/Web- Application assessment should be done as per latest OWASP guidelines including but not limited to the following:
- Injection
- Broken Authentication and Session Management
- Cross-Site Scripting (XSS)
- Insecure Direct Object References
- Security misconfiguration
- Insecure Cryptographic Storage
- Sensitive Data Exposure
- Failure to Restrict URL Access
- Missing Function Level Access Control
- Cross-Site Request Forgery (CSRF)
- Using Known Vulnerable Components
- Un-validated Redirects and Forwards
- Insufficient Transport Layer Protection
- Any other attacks, which are vulnerable to the web sites and web
- All internet based Applications informed by bank where applications are hosted in bank where as others by vendor.

Broad Details of the systems are given below for VAPT of Internet Facing Applications and Inline Infra:

Device Type	Quantity(DC)	Quantity (DR)
Servers	46	31
Databases *	1	1
Network Devices	10	10
Security Devices	7	9
VAPT External Internet IPs : 117.239.49.177-180 117.250.145.33-48 117.250.204.161-174		

SP is also required to conduct VAPT for Internal Applications and Inline Infra, Broad details of systems for Internal VAPT

Device Type	Quantity(DC)	Quantity (DR)
Servers	270	200
Databases *	75	40
Network Devices	50	50
Security Devices	10	10

Please note that the Application & Database servers are counted in both sections Servers section & Database section.

Please note that the details provided above under infra and VAPT count is the tentative list. There may be 20% increase in list provided. SP should keep provision for the same while bidding.

Request for Proposal for empanelment of external agencies for conducting comprehensive IS Audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and VAPT of our RRBs DC/ DR/ NDR Site



Deliverables

During the course of review, the SP will suggest the following in addition to other critical observation/ methods/ improvements as deemed fit from the point of view of the SP professional experience for each of the services mentioned above:

A. IS Audit:

- Ways to secure the existing Networks & any new networks being merged / created
- Provide re-designed network & security architecture along with technical specifications of network & security solutions based on the operational and business requirements of the Bank.
- All observations will be thoroughly discussed with process owners before finalization of report
- List of Risk Control Matrix.
- Checklist
- Training to IS Audit Team on Risk Control Matrix and Checklist findings
- Reports will be submitted as soft copy (password protected) in doc and pdf format as well as one signed hard copy. Vendor also will prepare the report online with Bank's Audit software as decided by the bank.
- All reports will be prepared with the following information:
- Gaps, deficiencies, vulnerabilities observed – specific observations should be given with details
- Risk associated with Gaps, deficiencies vulnerabilities observed
- Category of Risk – High/Medium/Low
- Recommendations/Procedures for removing Gaps, deficiencies, vulnerabilities observed
- Carry out data and asset classification as per Industry standards and submit a baseline classification report for all the assets and data in custody of the Bank.
- Recommendation should be specific and implementable in Bank setup, detailed suggestions and alternate recommendations to be provided in case any operational/business impact is observed for first set of recommendations.
- SP should closely work with Bank team on feasible implementation methods to ensure security and compliance.
- Preparation of Final testing Report with areas of improvement
- Compliance testing report

B. Vulnerability Assessment and Penetration Testing (VAPT)

The deliverables for VAPT activity are as follows:-

- a) Execution of Vulnerability Assessment and Penetration Testing for the identified network devices, security devices, servers, applications, websites, interfaces(part of application) etc. as per the Scope mentioned in this RFP and Analysis of the findings and guidance for resolution of the same.
- b) VAPT Report
The VAPT Report should contain the following:-
 - Identification of Audi-tee (Address & contact information)
 - Dates and Locations of VAPT
 - Terms of reference
 - Standards followed
 - Summary of audit findings including identification tests, tools used and results of tests performed (like vulnerability assessment, penetration testing, application security assessment, website assessment, etc.)
 - ❖ Tools used and methodology employed

Request for Proposal for empanelment of external agencies for conducting comprehensive IS Audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and VAPT of our RRBs DC/ DR/ NDR Site



- ❖ SP should descriptively share the methodology adopted in assessment and clearly share the steps leading to outcome of exercise
- ❖ Positive security aspects identified
- ❖ List of vulnerabilities identified
- ❖ Description of vulnerability
- ❖ Risk rating or severity of vulnerability
- ❖ Category of Risk: Very High / High / Medium / Low
- ❖ Test cases used for assessing the vulnerabilities
- ❖ Illustration of the test cases
- ❖ Applicable screenshots.
- Analysis of vulnerabilities and issues of concern
- Recommendations for corrective action
- Personnel involved in the audit

The Service Provider may further provide any other required information as per the approach adopted by them and which they feel is relevant to the audit process. All the gaps, deficiencies, vulnerabilities observed shall be thoroughly discussed with respective bank officials before finalization of the report.

B. Cyber Security Audit

1. Governance, Risk, and Compliance (GRC)
2. Verify the hardening of new equipments and perform VAPT and to furnish compliance certificate prior to go live for all newly deployed application during the duration of the contract without any additional cost for the newly introduced applications.
3. Review of Vulnerability Index for Cyber Security Framework
4. Review of security policies, procedures, and standards.
5. Examination of compliance with regulations (e.g., PCI DSS, GDPR, FFIEC).
Risk management processes (identification, assessment, and mitigation).
Information Security Policies - Verification that up-to-date security policies are in place. - Assessment of employee awareness and training programs on cybersecurity.
6. Access Control and Identity Management - Assessment of authentication mechanisms (multi-factor authentication, password policies). Review of access privileges (least privilege principle, role-based access control).
7. Monitoring of user and admin activities (logs, audit trails).
8. Firewall configuration, IDS/IPS settings, VPN usage, and segmentation of internal networks. - Vulnerability scanning and penetration testing of network infrastructure. - Security of external connections (third-party integrations, internet, mobile banking).
9. Security controls on bank endpoints (servers, workstations, mobile devices).
Implementation of anti-virus, malware protection, and encryption on devices. - Patch management and software update policies.
10. Encryption of data at rest and in transit. Secure handling of customer data, particularly Personally Identifiable Information (PII).
11. Incident response plan review (timeliness, effectiveness, and escalation procedures).
12. Security Information and Event Management (SIEM) systems and alerting mechanisms. - Disaster recovery (DR) and business continuity planning (BCP).

Additional:

Request for Proposal for empanelment of external agencies for conducting comprehensive IS Audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and VAPT of our RRBs DC/ DR/ NDR Site



GRC portal access, wherein all previous audit and their Risk to be displayed.

C. Data Migration Scope

The scope of data migration audit from Finacle 7.x to Finacle 10.x should include the following:

- Review the Data Migration process
- Review the Effectiveness of the Migration Tool of the vendor
- Review the adequacy of the checkpoint reports to ensure effective migration
- Review the Data mappings: Review the mapping of source data to target including the new fields sourced to the target system

Migration Audit activities: -

- 1) Review of the migration plan, PAC approval, Change Management Plan
- 2) Assess the Data integrity checks of raw data, business rules & configuration, log tables, customer data files and related master data
- 3) Verify accuracy of the CIF, GL, Interest tables, Deposit / Loan accounts and Parameter tables as migrated from the source systems to the destination systems
- 4) Verify the Exceptions reports generated during the migration activities
- 5) Review of the functionality changes performed as part of the Finacle 10 implementation during migration
- 6) Review of the implementation plan and activities carried out for the migration phase
- 7) Review the data changes logs and scripts carried out as part of the process.
- 8) Review of IS compliance in terms of access management, audit trail, backup management and change management
- 9) Data extraction from 7x and 10x CBS application should be in the scope of Auditor.
- 10) Modules and Critical fields to be audited is to be provided by RRB Team.

Migration Audit Scope - From Finacle to Finacle	
A	Data integrity checks: Pre-migration and post-migration data sets to be compared for data integrity issues. Data integrity checks should check the following data parameters:-
1	Raw data integrity
2	Business rules / configuration rules/ parameterization
3	To ensure that the data in the new migrated environment qualifies the integrity and reliability tests and in case of any errors or mistakes are identified, suitable counter measures are taken by Migration team for mitigating their impact.
4	Business rules verification.
5	Ensure that all the exceptions have been rectified and necessary sign off has been obtained Other Master Data
6	Whether Interest rates for Deposit Accounts / Loan Accounts have been correctly carried over also history of interest table is carried over properly or not.
7	Whether account status in products such as inactive, dormant, overdue have been correctly carried over
8	Verify whether cheque books issued to the account holders have been carried over to the Finacle
9	Check whether signatures of all customers from Finacle have been migrated to Finacle.
10	Assessment of the reliability of the financial data/ other critical data files transferred to

Request for Proposal for empanelment of external agencies for conducting comprehensive IS Audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and VAPT of our RRBs DC/ DR/ NDR Site



	the new system.
11	Comparison of pre-migration and post-migration data for checking integrity issues.
12	Account data (Asset / Liability) / customer data to be carried over correctly i.e. account master data, advance account classification / transaction history data, customer master data etc.
13	Transaction data to be check
14	SI data to be check
15	All common table from different version to be checked or table from old version and table from new version where data has been migrated to be crossed check.
B	General Ledger :-
16	Verify the balances from the Trial Balance in old GL on the date of migration to the Trial Balance from the migrated system. The balances may be verified at the GL level and adjusted for regroupings as required.
17	General Ledger balances in the existing system should balance at the Branch Level.
18	A cross-reference of the GLs in the Finacle and in Finacle should have been maintained at the extraction side as a mapping.
19	Migration account/ pool account is reconciled.
20	Old non-migrated DD balances transferred to Pool account should tally with the GL balance.
C	Verify:-
21	Customer Information File (CIF), Account number.
22	Whether CIF's created for all the joint account holders?
23	Whether address and all-important data have been Input in the system or else kept blank?
24	Verify Customer Information file (CIF) for generating new account numbers with old numbers
25	Verify whether the mapping of the new customer number with the old number is maintained in the Finacle system for future reference
26	Verify whether multiple CIF exists for a single customer
27	Check whether CIFs have been created for all the joint account holders
28	Check whether address and all-important data have been input in the system or else kept blank
29	Check for mandatory parameters in customer masters that are blank
30	Check the history data of TDS deducted on cash withdrawal and also history of cash withdrawal for the financial year is migrated
31	Verify whether account-wise balances for all products (SB, CA, Loans, TD) in the Finacle have been carried forward to Finacle
32	Verify whether accounts with frozen status have been migrated with the same status
33	Check SB/TD Interest for accrual and carry over on the date of conversion
34	Verify that the breakup between principal and interest, progress period interest, charges, holiday period in loans (and term deposit) have been correctly retained along with special category (Like NPA etc.)
35	Check whether active limits and drawing power have been migrated properly
36	Check whether lien marked details have been migrated with the same status including lien if any.
37	Verify whether security details and loan documents have been migrated properly
38	Ensure that the date of last date of interest credit / accrual and frequency has been correctly entered in the Finacle
39	Verify the carry-over of individual entries in suspense/ other assets/ sundry debtors (others) in the Finacle

Request for Proposal for empanelment of external agencies for conducting comprehensive IS Audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and VAPT of our RRBs DC/ DR/ NDR Site



40	Verify for carry-over of individual festival advance / suspense debtors (staff accounts) etc.
41	Verify for the carry-over of locker caution deposit of all the lockers account wise.
42	Check whether reconciliation is in place for the account
43	Verify whether outstanding OBC's have been carried over to Finacle
44	Verify whether DD/pay orders payable account of all the outstanding pay orders have been carried over to the Finacle
45	Verify whether the pay orders payable account was reconciled on the day of conversion
46	Check whether all outstanding under funds in clearing are posted as cleared balance and subsequent marking of lien on those accounts are made.
47	Verify whether guarantees, open LC and bills have been correctly carried over to the Finacle
48	Check for ATM suspense entries and their carry forward to the Finacle if any.
49	Check for ATM Switch receivable / payable account and reconciliation of such accounts post migration if any.
50	Verify that the breakup between principal and interest and the fields like term deposit and category has been correctly retained. In respect of sample selected, ensure that the last date of interest credit/ accrual has been correctly migrated in new CBS.
51	Verify for the carry-over of individual entries in suspense sundry creditors (others) in the new system.
52	Verify Non - Financial entities like Standing Instructions and Stop payment instructions are carried over to target system.
53	Verify carry-over of Standing Instruction
54	Verify stop payment instructions in SB, Current, CCOD
55	Verify whether stop payment of drafts has been carried over to the new system accurately
56	Check whether special notes with regard to Lien, Deceased A/c, Stop Payment of cheque, attachment order, Garnishee order etc., have been carried over accurately in the Finacle
57	Verify Interest rates for Deposit Accounts/ Loan accounts.
58	Whether cheque books issued to the account holders are carried over to the system?
59	Verify whether special notes with regard to Lien, Deceased A/C, attachment order, Garnishee order etc., have been carried over accurately to Target system?
60	Whether the signatures available in source system have been migrated to Target System? Report the number of accounts for which count of signature available is mismatch
61	Deducted customer TDS has been migrated correctly to the Target System.
62	Use automated tools to compare the data moved from source system to the target system.
63	Validation of rate of Interest, limit, parameter, Standing Instruction, per A/C, per scheme D Actual migration event: (IT Controls)
64	Sign-off is obtained from the end users for the completion of the migration process.
65	Decommissioning of the original source of data.
66	Branch is able to view the maximum one-year historical transaction in Finacle.
67	Access to Finacle is available and being assessed by generic IDs or specific IDs.
68	Access to specific URLs pertaining to Migrated Banks are available in the Branch or not
69	SAF from CSIS transaction data between migration dates
70	Audit trail data should be available properly

Request for Proposal for empanelment of external agencies for conducting comprehensive IS Audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and VAPT of our RRBs DC/ DR/ NDR Site



Migration Audit Scope - From Any other CBS Platform to Finacle (If any)	
A	Data integrity checks: Pre-migration and post-migration data sets to be compared for data integrity issues. Data integrity checks should check the following data parameters:
1	Raw data integrity
2	Business rules / configuration rules/ parameterization
3	To ensure that the data in the new migrated environment qualifies the integrity and reliability tests and in case of any errors or mistakes are identified, suitable counter measures are taken by Migration team for mitigating their impact.
4	Business rules verification.
5	Ensure that all the exceptions have been rectified and necessary sign off has been obtained Other Master Data
6	whether Interest rates for Deposit Accounts / Loan Accounts have been correctly carried over
7	whether account status in products such as inactive, dormant, overdue have been correctly carried over
8	Verify whether cheque books issued to the account holders have been carried over to the Finacle
9	Check whether signatures of all customers from the other CBS Platform have been migrated to Finacle.
10	Assessment of the reliability of the financial data/ other critical data files transferred to the new system.
11	Comparison of pre-migration and post-migration data for checking integrity issues.
B	General Ledger :-
12	Verify the balances from the Trial Balance in old GL on the date of migration to the Trial Balance from the migrated system. The balances may be verified at the GL level and adjusted for regroupings as required.
13	General Ledger balances in the existing system should balance at the Branch Level.
14	A cross-reference of the GLs in the CBS (other than Finacle) and in Finacle should have been maintained at the extraction side as a mapping.
15	Migration account/ pool account is reconciled
16	Old non-migrated DD balances transferred to Pool account should tally with the GL balance.
C	Verify
17	Customer Information File (CIF), Account number.
18	Whether CIF's created for all the joint account holders?
19	Whether address and all-important data have been Input in the system or else kept blank?
20	Verify Customer Information file (CIF) for generating new account numbers with old numbers
21	Verify whether the mapping of the new customer number with the old number is maintained in the Finacle system for future reference
22	Verify whether multiple CIF exists for a single customer
23	Check whether CIFs have been created for all the joint account holders
24	Check whether address and all-important data have been input in the system or else kept blank
25	Check for mandatory parameters in customer masters that are blank
26	Check the history data of TDS deducted on cash withdrawal and also history of cash withdrawal for the financial year is migrated

Request for Proposal for empanelment of external agencies for conducting comprehensive IS Audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and VAPT of our RRBs DC/ DR/ NDR Site



27	Verify whether account-wise balances for all products (e.g. SB, CA, Loans, TD) have been carried forward to Finacle
28	Verify whether accounts with frozen status have been migrated with the same status
29	Check SB/TD Interest for accrual and carry over on the date of conversion
30	Verify that the breakup between principal and interest, progress period interest, charges, holiday period in loans (and term deposit) have been correctly retained along with special category (Like NPA etc.)
31	Check whether active limits and drawing power have been migrated properly
32	Check whether lien marked details have been migrated with the same status including ASBA lien if any.
33	Verify whether security details and loan documents have been migrated properly

Deliverables over and above the aforementioned Scope

The Service Provider shall further provide any other required information as per the approach adopted by them and which they feel is relevant to the audit process or as required by the RRBs. All the gaps, deficiencies, vulnerabilities observed shall be thoroughly discussed with respective bank officials before finalization of the report. The recommendations should be suitable for implementation in setup else alternate secure recommendations to be provided to mitigate the risks.

Audit should improve the effectiveness of entire Data Centre setup for detecting violations and providing early warning signals about weaknesses and problems.

Further the audit should also check whether the DC/DR/NDR infrastructure, network and security devices, CBS and Non-CBS applications internet applications comply the guidelines issued by RBI vide their circular RBI/2015-16/418 DBS.CO/CSITE/BC.11/33.01.001/2015-16 dated 02.06.2016, The detailed report including discrepancies should be submitted by specifically mentioning the clause 'compliance under RBI circular RBI/2015-16/418 DBS.CO/CSITE/ BC.11/33.01.001/ 2015-16 dated 02.06.2016. SP should also check the DC setup, Infrastructure, network, security, applications comply the guidelines issued by NABARD thorough various circulars and cyber security advisories like NB.DOS.HO.Pol.No/4813/J1/2017-18 dated 16.03.2018, NB.DoS.Pol.HO/3182/J-1/2019-20 dated 06.02.2020 and like so. The detailed report with compliance status should be submitted as required. Auditor should also undertake assessment for the circulars released by the regulators from time to time.

Service provider shall be responsible for carrying out VA and penetration testing and subsequently providing compliance reports for any newly deployed applications as required by the Bank during the entire duration of the contract without any additional cost for 10% of the newly introduced applications of the total application count.

The audit should assess the entire setup, ecosystem and provide compliance status with reference to various guidelines published by regulators like GOI/RBI/NABARD/NPCI/UIDAI etc. from time to time. The above audit will also be applicable to amalgamated RRBs in the future, if amalgamation takes place within the next three years.



The SP should study the setup, gain comprehensive knowledge and should be able to guide in case of any opinion/detailed direction required to meet the IT security, regulatory compliance, security tools, products etc. Auditor should be able to furnish the requested regulatory circulars references, documentation and sample formats as and when required.

The SP should analyse the RRBs DC requirement with reference to security solutions and tools setup. SP should suggest the best suitable security products in market, provide cost comparison, product features comparison; recommend required optimum hardware with configuration. SP should review the suitability of requirement with best fit product and reasonable cost to meet the compliance. SP should provide technical details, competitive products from different OEMs, product roadmap aligned to business strategy. The reviewed report should be submitted to Bank.

The SP should continuously analyse the Data Centre products/ devices/ hardware/ software/ DB/ OS implemented solutions etc. with respect to End of Life/End of Support and recommend the upgrade or suggest alternate solution with proficient advice. The Audit contract, in case of extension should be agreed on year 3 price and activities shall be conducted on year 3 rates.

SP shall provide complete assistance with all the reference documents, reference format to establish standard processes that are required to be followed as per policies or guidelines recommended during observations. Absolute involvement of SP shall be required to frame the process, documentation procedure. Detailed format and reference documents are required to be furnished by SP officially over communication medium for closure of highlighted discrepancies.

SP shall provide assistance to establish any framework with methodologies to substantiate Banks requirement. E.g. Cyber Security Framework/Policies, IS Policies, Cyber Crisis Management etc.

The SP should explain the methodology and provide guidance for incorporation of new procedures which shall be introduced to strengthen IT Security. E.g. Anti-phishing procedure implementation in existing setup etc.

The SP should leverage their system/ tools/setup to perform activities suggested under compliance of regulatory authorities. E.g. To determine Phishing URL opened by RRB users etc.

There shall be no restriction on number of times VAPT assessment is done for closure of specific observations until conclusion. The recommendations will be carried out in UAT or secondary site initially and post VAPT of this setup, closed observations will be implemented in production.

The SP shall provide assistance for asset classification, data classification etc. and other related procedural guidance. The SP shall verify the hardening of new equipments and perform VAPT prior to go live. The SP shall conduct VAPT and furnish compliance certificate for new applications as well.



The SP shall verify the risk tracker and inclusion of domain points to be furnished to management in absence of required tools, The SP should be able to provide in-built solutions implementable in existing architecture, explore remedial methods for prevention. The SP should conduct infrastructure audit of incoming amalgamated entities.

SP shall develop risk profiles and draw risk matrix taking into account Inherent business risk and effectiveness of the control system for monitoring the risk. Preparation of Risk Matrix should be based upon Risk Analysis of all the Information Systems of the Bank, as per the guidelines issued by NABARD and Govt. of India, including following steps:

- System Characterization
- Threat Identification
- Vulnerability Identification
- Control Analysis
- Likelihood Determination
- Impact Analysis
- Risk Determination

The Risk Analysis / Risk Matrix will be based on Adequacy of internal controls, business criticality, regulatory requirements, amount or value of transactions processed, if a key customer information is held, customer facing systems, financial loss potential, number of transactions processed, availability requirements, experience of management and staff, turnover, technical competence, degree of delegation, technical and process complexity, stability of application, age of system, training of users, number of interfaces, availability of documentation, extent of dependence on the IT system, confidentiality requirements, major changes carried out, previous audit observations and senior management oversight.

SP shall be responsible for carrying out data and asset classification as per Industry standards and submit a baseline classification report for all assets and data in custody of the Bank.

SP to provide minimum baseline security standard / practices in a checklist format to be implemented to achieve a reasonably secure IT environment for technologies deployed at the Bank separately for different Information systems, covering OS, Database, Network equipment's, Security equipment's and other relevant aspects of IS Audit. Checklists must be updated regularly to ensure covering regulatory / best practices and it must be specific to the application / process being audited

In case of any unforeseen circumstances, if Bank is required to extend the scope, same shall be catered by SP without any additional cost to Bank. All the deliverables in scope should be assessed and observations shared for listed points under each category.

Learners/Trainees/Employees having experience less than 2 years should not be deployed on site for assessment and compliance review. Also employees on notice period of SP should not be part of our assessment. SP will maintain the engagement of the resources and ensure their continuity during the assessment period. No set of resources should be repeated for any of the cycles to have fresh perspective. Same resources cannot be deployed on multiple assignments awarded to SP as submission can be required in parallel

Request for Proposal for empanelment of external agencies for conducting comprehensive IS Audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and VAPT of our RRBs DC/ DR/ NDR Site



for time bound activities (For eg. IS Audit and Vulnerability Index for Cyber Security Framework assessment can run in parallel). Any delay in assessment of the scope attributable to SP adding up to the timelines will be actionable.

SP should be able to meet the report submission timelines to the various authorities as per the deadlines governed, default will be liable for termination. The TAT for reviewing of the draft report is defined as maximum two days wherein default will be penalized. SP should provide escalation matrix with timelines mentioned for escalation period.

Requirement of data required for assessment should be clearly specified and in timely manner. SP is required to carry out the auditing activities independently and should not rely only on sample basis inputs or snapshots. Validation in the system should be carried out for the entitled scope.

- I. Executive level presentation of technical findings, recommendations with priority and potential impacts on the organization to be conducted quarterly during the span of audit to highlight the critical risks.
- II. Recommendations on optimum utilization of available hardware/software resources which are presently not utilized to maximum extent in terms of capability features and suggesting its beneficial usage in our environment.
- III. Recommendation on improvement of existing business process for efficient usage of resources.
- IV. Identification and recommendation of additional technology which help in securing the environment as per industry standards.

During the course of review, the SP will suggest the following in addition to other critical observation/ methods/ improvements as deemed fit from the point of view of the SP professional experience for each of the services mentioned above:

- Ways to secure the existing Networks & any new networks being merged / created
- Provide re-designed network & security architecture along with technical specifications of network & security solutions based on the operational and business requirements of the Bank.
- All observations will be thoroughly discussed with process owners before finalization of report.
- Entity wise separate report will be submitted for Infrastructure Audit of DC, DR, NDR and BCP.
- Reports will be published RRB-wise.
- A separate report for Security operations will be submitted which should be further bifurcated into RRB wise / Entity Wise.
- Reports will be submitted as soft copy (password protected) in doc and pdf format as well as in signed hard copy.
- Executive summary report will be submitted as soft copy (password protected) in doc and pdf format as well as in signed hard copy.
- Service provider will also detail the positive findings (No Gap found) for various tests conducted.

Request for Proposal for empanelment of external agencies for conducting comprehensive IS Audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and VAPT of our RRBs DC/ DR/ NDR Site



- All reports will be prepared with the following information:
- Gaps, deficiencies, vulnerabilities observed – affected component specific observations should be given with details
- Risk score, Risk associated with Gaps, deficiencies vulnerabilities observed
- Category of Risk – High/Medium/Low
- Recommendations/ Procedures for removing Gaps, deficiencies, vulnerabilities observed
- Preparation of Final testing Report with areas of improvement
- Compliance testing report along with POC

Request for Proposal for empanelment of external agencies for conducting comprehensive IS Audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and VAPT of our RRBs DC/ DR/ NDR Site



ANNEXURE -10- Bid Security Guarantee

(FORMAT OF BANK GUARANTEE (BG) IN LIEU OF EARNEST MONEY DEPOSIT)

To:
Bank of Baroda
Vadodara

WHEREAS (Hereinafter called "the Bidder") has submitted its bid dated (Date of submission of bid) for the RFP Ref NO: 116/303 (hereinafter called "the Bid").

KNOW ALL PEOPLE by these presents that We (Name of bank) of (Name of country) having our registered office at (Address of bank) (hereinafter called "the Bank") are bound to Bank of Baroda (hereinafter called "the Purchaser") in the sum of Two Lakhs (200,000/-) for which payment will and truly to be made to the said Bank of Baroda (the Purchaser) the Bank binds itself, its successors and assigns by these presents. Sealed with the common seal of the said Bank this day of, 20.....

The Conditions of this obligation are:

1. If the Bidder withdraws its Bid during the period of bid validity specified by the Bidder on the Bid Form; or
2. If the Bidder, having been notified of the acceptance of its bid by Bank of Baroda (the Purchaser) during the period of bid validity:

(a) Fails or refuses to execute the Contract Form if required; or

(b) Fails or refuses to furnish the Performance Security, in accordance with the Terms and Conditions of the RFP/ Contract;

(c) To set-off or adjust any amounts due to Bank under this clause from the Service Provider against payments due and payable by Bank to the Service Provider for the services rendered.

(d) Fails to perform the contract or default thereof.

We undertake to pay Bank of Baroda (the Purchaser) up to the above amount upon receipt of its first written demand, without Bank of Baroda (the Purchaser) having to substantiate its demand, provided that in its demand the purchaser will note that the amount claimed by it is due owing to the occurrence of one or both of the two conditions, specifying the occurred condition or conditions.

This guarantee will remain in force up to and including 45 days after the period of the bid validity, and any demand in respect thereof should reach the Bank not later than the above date.

Notwithstanding any other term contained herein

a) This guarantee shall be valid only up to..... (Insert Guarantee End Date) whereupon it shall automatically expire irrespective of whether the original guarantee is returned to the Bank or not; and

b) The total liability under this guarantee shall be limited to Rs. /- (Rupees only).

Place:

SEAL Code No. SIGNATURE



Note:

1. Bidder should ensure that the seal and code No. of the signatory is put by the Bankers, before submission of BG.
2. Stamp paper is required for the BG issued by the Banks located in India.



Annexure 11-Performance Guarantee
(FORMAT OF PERFORMANCE BANK GUARANTEE)

To,
The RFP Co-ordinator
Chief Security Information Officer- RRBs
RRB Cell, RRBs & RSETIs Dept., Bank of Baroda,
4th floor, Baroda Bhawan, R C Dutt Road, Alkapuri
Vadodara- 390007

WHEREAS M/S (Name of Bidder) a Company registered under the Indian Companies Act, 1956 and having its Registered Office at , (Please provide complete address) (hereinafter referred to as "Bidder") was awarded a contract by Bank of Baroda RRBs (the Bank) vide their Purchase Order no. dated (Hereinafter referred to as "PO") for WHEREAS, in terms of the conditions as stipulated in the PO and the Request for Proposal document No. Dated for (hereinafter referred to as "RFP"), the Bidder is required to furnish a Performance Bank Guarantee issued by a Public Sector Bank/ schedule commercial bank in India other than the Bank of Baroda in your favour for Rs...../- towards due performance of the contract in accordance with the specifications, terms and conditions of the purchase order and RFP document (which guarantee is hereinafter called as "BANK GUARANTEE").

AND WHEREAS the Bidder has approached us for providing the BANK GUARANTEE.

AND WHEREAS at the request of the Bidder, WE a body corporate in terms of the Banking Companies Acquisition and Transfer of Undertakings Act, 1970/1980 having it's Office at and a branch inter alia at India have agreed to issue the BANK GUARANTEE.

THEREFORE, WE, (name of Bank and its address)..... through our local office at India furnish you the BANK GUARANTEE in manner hereinafter contained and agree with you as follows:

1. We..... do hereby expressly, irrevocably and unconditionally undertake to pay the amounts due and payable under this Guarantee without any demur, merely on demand from you and undertake to indemnify you and keep you indemnified from time to time and at all times to the extent of Rs.-(Rupees only) account of any breach or breaches on the part of the Bidder of any of the terms and conditions contained in the PO and RFP / SLA and in the event of the Bidder committing default or defaults in carrying out any of the work or discharging any obligation under the PO or RFP document or otherwise in the observance and performance of any of the terms and conditions relating thereto in accordance with the true intent and meaning thereof, we shall forthwith on demand pay to you such sum or sums not exceeding the sum of Rs.....-(Rupees only) as may be claimed by you on account of breach on the part of the Bidder of their obligations or default in terms of the PO and RFP.
2. Notwithstanding anything to the contrary contained herein or elsewhere, we agree that your decision as to whether the Bidder has committed any such breach/ default or defaults and

Request for Proposal for empanelment of external agencies for conducting comprehensive IS Audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and VAPT of our RRBs DC/ DR/ NDR Site



the amount or amounts to which you are entitled by reasons thereof will be binding on us and we shall not be entitled to ask you to establish your claim or claims under Bank Guarantee, but will pay the same forthwith on your demand without any protest or demur. Any such demand made by Bank of Baroda/ RRBs shall be conclusive as regards the amount due and payable by us to you.

3. This Bank Guarantee shall continue and hold good until it is released by you on the application by the Bidder after expiry of the relative guarantee period provided always that the guarantee shall in no event remain in force after (date) without prejudice to your claim or claims arisen and demanded from or otherwise notified to us in writing before the expiry of the said date which will be enforceable against us notwithstanding that the same is or are enforced after the said date.
4. You will have the fullest liberty without our consent and without affecting our liabilities under this Bank Guarantee from time to time to vary any of the terms and conditions of the PO and RFP or extend the time of performance of the contract or to postpone for any time or from time to time any of your rights or powers against the Bidder and either to enforce or forbear to enforce any of the terms and conditions of the said PO and RFP and we shall not be released from our liability under Bank Guarantee by exercise of your liberty with reference to matters aforesaid or by reason of any time being given to the Bidder or any other forbearance, act or omission on your part or any indulgence by you to the Bidder or any other act, matter or things whatsoever which under law relating to sureties, would but for the provisions hereof have the effect of so releasing us from our liability hereunder provided always that nothing herein contained will enlarge our liability hereunder beyond the limit of Rs./-(Rupees..... only) as aforesaid or extend the period of the guarantee beyond the said (date) unless expressly agreed to by us in writing.
5. The Bank Guarantee shall not in any way be affected by your taking or giving up any securities from the Bidder or any other person, firm or company on its behalf or by the winding up, dissolution, insolvency or death as the case may be of the Bidder.
6. In order to give full effect to the guarantee herein contained, you shall be entitled to act as if we were your principal debtors in respect of all your claims against the Bidder hereby guaranteed by us as aforesaid and we hereby expressly waive all our rights of surety ship and other rights, if any, which are in any way inconsistent with any of the provisions of Bank Guarantee.
7. Subject to the maximum limit of our liability as aforesaid, Bank Guarantee will cover all your claim or claims against the Bidder from time to time arising out of or in relation to the PO and RFP and in respect of which your claim in writing is lodged on us before expiry of Bank Guarantee.
8. Any notice by way of demand or otherwise hereunder may be sent by special courier, telex, fax or registered post to our local address as aforesaid and if sent accordingly it shall be deemed to have been given when the same has been posted.
9. The Bank Guarantee and the powers and provisions herein contained are in addition to and not by way of limitation of or substitution for any other guarantee or guarantees hereto before given to you by us (whether jointly with others or alone) and now existing enforce and this Bank Guarantee is not intended to and shall not revoke or limit such guarantee or guarantees.
10. The Bank Guarantee shall not be affected by any change in the constitution of the Bidder or us nor shall it be affected by any change in your constitution or by any amalgamation or absorption thereof or therewith but will ensure to the benefit of and be available to and be enforceable by the absorbing or amalgamated company or concern.

Request for Proposal for empanelment of external agencies for conducting comprehensive IS Audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and VAPT of our RRBs DC/ DR/ NDR Site



बैंक ऑफ़ बड़ौदा
Bank of Baroda



11. The Bank Guarantee shall come into force from the date of its execution and shall not be revoked by us any time during its currency without your previous consent in writing.
12. We further agree and undertake to pay you the amount demanded by you in writing irrespective of any dispute or controversy between you and the Bidder in any suit or proceeding pending before any court or Tribunal relating thereto, our liability under this present being absolute and unequivocal. The payments so made by us shall be a valid discharge of our liability for payment here under and the Bidder shall have no claim against us for making such payment.
13. Notwithstanding anything contained herein above;
 - A. Our liability under this Guarantee shall not exceed Rs.-/- (Rupees.....only)
 - B. this Bank Guarantee shall be valid and remain in force up to and including the date and
 - C. we are liable to pay the guaranteed amount or any part thereof under this Bank Guarantee only and only if you serve upon us a written claim or demand on or before the expiry of this guarantee.
14. We have the power to issue this Bank Guarantee in your favour under the Memorandum and Articles of Association of our Bank and the undersigned has full power to execute this Bank Guarantee under the Power of Attorney issued by the Bank.

Dated this the day of, 20.....

For and on behalf of:

Branch Manager:

Seal and Address:

NOTE:

1. VENDOR SHOULD ENSURE THAT THE SEAL & CODE NO. OF THE SIGNATORY IS PUT BY THE BANKERS, BEFORE SUBMISSION OF BG
2. STAMP PAPER IS REQUIRED FOR THE BG ISSUED BY THE BANKS LOCATED IN VADODARA.
3. BANK GUARANTEE IF SUBMITTED, SHOULD BE ACCOMPANIED WITH COPY OF THE SFMS TRANSMITTED AT THE TIME OF ISSUE OF BANK GUARANTEE. AS PER IBA NOTIFICATION NO. PS&BT/GOVT/2305 DATED 16MAR-2016 ALONG WITH MINISTRY OF FINANCE, GOVERNMENT OF INDIA CIRCULAR F.NO.7/112/2011-BOA DATED 08-MAR-2016 WITH RESPECT TO SENDING BANK GUARANTEE ADVICES THROUGH STRUCTURED FINANCIAL MESSAGING SYSTEM (SFMS), IT IS NECESSARY TO CONFIRM THE AUTHENTICITY OF THE BANK GUARANTEES (BG) BY SFMS MESSAGE. THE SFMS SHOULD BE SENT TO FOLLOWING BRANCH:
BRANCH NAME & ADDRESS: BANK OF BARODA, BKC BRANCH, C-26, G-BLOCK, BARODA CORPORATE CENTER, BANDRA EAST, MUMBAI-400051
IFSC CODE: BARB0BANEAS (FIFTH LETTER IS "ZERO")
VENDOR SHOULD ENSURE THAT THE BANK GUARANTEE SHOULD CONTAIN ALL TERMS & CONDITIONS AS PER THIS FORMAT. BANK GUARANTEE SUBMITTED WITH ANY RIDER OR DEVIATION TO THE STIPULATED TERMS & CONDITIONS WILL NOT BE ACCEPTED.

Request for Proposal for empanelment of external agencies for conducting comprehensive IS Audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and VAPT of our RRBs DC/ DR/ NDR Site



Annexure 12 – Details of Certified Employees

SNo.	Name of Employee	Certifications / Accreditations CISA/CISSP/CISM/ CEH/ DISA/ CCNA/ORACLE Certified employees, ISO 27001 Lead Auditor	Year of Passing Certificate	Post Qualification Work Experience (Yrs.)	Total Work Experience (Yrs.)

Documentary proofs are to be enclosed to substantiate the claim made.

Authorized Signatory as per Board Approval

Name:

Designation:

Vendor's Corporate Name

Address

Email and Phone #

Date:



Annexure 13- Bid Security Declaration Form

(For Micro and Small Enterprises (MSEs))

To
The RFP Co-ordinator
Chief Security Information Officer- RRBs
RRB Cell, RRBs & RSETIs Dept., Bank of Baroda,
4th floor, Baroda Bhawan, R C Dutt Road, Alkapuri
Vadodara- 390007

Madam/ Sir,

Sub: Your RFP: HO:RRB&RSETI:RRB:RFP:116/303 dated: 18.11.2024

1. I/We, the undersigned, declare that M/s.....is a Micro and Small Enterprise and the copy of registration certificate issued by NSIC / Concerned Ministries for Micro and Small Enterprises (MSE) which are valid on last date of submission of the tender documents are enclosed.
2. I/We understand that, according to your conditions, bids must be supported by a Bid Securing Declaration as per Rule 170 of General Financial Rules (GFRs) 2017 by Micro and Small Enterprises (MSEs).

OR

- As per the RFP reference no: 116/303 Dated 18.11.2024 floated for Empanelment of Audit Firms for conducting IS audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and VAPT of our RRBs DC/DR/NDR a Bid Declaration Form in lieu of Bid Security is required to be submitted by me/ as per Rule 170 of General Financial Rules (GFRs) 2017 by Micro and Small Enterprises (MSEs).
3. I/We accept that I/We may be disqualified from bidding for any contract with you for a period of 6 months from the date of notification if I am /We are in a breach of any obligation under the bid conditions, because I/We
 - a) Have withdrawn/modified/amended, impairs or derogates from the tender, my/our Bid during the period of bid validity specified in the form of Bid; or
 - b) Having been notified of the acceptance of our Bid by the purchaser during the period of bid validity (i) fail or reuse to execute the contract, if required, or (ii) fail or refuse to furnish the Performance Security, in accordance with the Instructions to Bidders.
 4. I/We understand this Bid Securing Declaration shall cease to be valid if I am/we are not the successful Bidder, upon the earlier of (i) the receipt of your notification of the name of the successful Bidder; or (ii) thirty days after the expiration of the validity of my/ our Bid.
 5. I/We declare that I am the authorised person ofto make the declaration for and on behalf of Letter of Authority for executing declaration is enclosed

Signature of the Authorized Signatory

Name:

Designation:

Name of the Firm:

Address:

Request for Proposal for empanelment of external agencies for conducting comprehensive IS Audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and VAPT of our RRBs DC/ DR/ NDR Site



Annexure – 14: Declaration/ Undertaking for procurement from a country sharing land border

Declaration/ Undertaking from bidder regarding applicability of restrictions on procurement from a bidder of a country which shares a land border with India as per the order no. 6/18/2019-PPD dated 23rd July 2020 issued by Ministry of finance department of expenditure.

(This letter should be on the letterhead of the Bidder duly signed by an authorized signatory)

To,
The RFP Co-ordinator
Chief Security Information Officer- RRBs
RRB Cell, RRBs & RSETIs Dept., Bank of Baroda,
4th floor, Baroda Bhawan, R C Dutt Road, Alkapuri
Vadodara- 390007

Sir,

We, M/s ----- are a LLP/ Partnership Firm <strike off whichever is not applicable> incorporated under the provisions of the Companies Act, 1956/2013 Limited Liability Partnership Act 2008/ Indian Partnership Act 1932, having our registered office at (Referred to as the "Bidder") are desirous of participating in the Tender Process in response to your captioned RFP and in this connection we hereby declare, confirm and agree as under:

We, the Bidder have read and understood the contents of the RFP and Office Memorandum & the Order (Public Procurement No.1) both bearing no. F.No.6/18/2019/PPD of 23rd July 2020 issued by Ministry of Finance, Government of India on insertion of Rule 144 (xi) in the General Financial Rules (GFRs) 2017 and the amendments & clarifications thereto, regarding restrictions on availing/procurement of goods and services, of any Bidder from a country which shares a land border with India and / or sub-contracting to contractors from such countries.

In terms of the above and after having gone through the said amendments including in particular the words defined therein (which shall have the same meaning for the purpose of this Declaration cum Undertaking), we the Bidder hereby declare and confirm that:

Please strike off whichever is not applicable

- 1) "I/ we have read the clause regarding restrictions on procurement from a bidder of a country which shares a land border with India; I/ we certify thatis not from such a country."
- 2) "I/ we have read the clause regarding restrictions on procurement from a bidder of a country which shares a land border with India; I/ we certify that is from such a country. I hereby certify that..... fulfils all requirements in this regard and is eligible to be considered. [Valid registration by the Competent Authority is attached.]"

Further In case the work awarded to us, I/ we undertake that I/ we shall not subcontract any of assigned work under this engagement without the prior permission of bank.

Further we undertake that I/we have read the clause regarding restrictions on procurement from a bidder of a country which shares a land border with India and on sub-contracting to contractors from such countries; I certify that our subcontractor is not from such a country or,



if from such a country, has been registered with the Competent Authority and will not sub-contract any work to a contractor from such countries unless such contractor is registered with the Competent Authority. I hereby certify that our subcontractor fulfils all requirements in this regard and is eligible to be considered. [Valid registration by the Competent Authority is attached herewith.]”

- 3) We, hereby confirm that we fulfil all the eligibility criteria as per the office memorandum/ order mentioned above and RFP and we are eligible to participate in the Tender process.

We also agree and accept that if our declaration and confirmation is found to be false at any point of time including after awarding the contract, Bank shall be within its right to forthwith terminate the contract/ bid without notice to us and initiate such action including legal action in accordance with law. Bank shall also be within its right to forfeit the security deposits/ earnest money provided by us and also recover from us the loss and damages sustained by the Bank on account of the above.

This declaration cum undertaking is executed by us through our Authorized signatory/ies after having read and understood the Office Memorandum and Order including the words defined in the said order

Dated this.....by 20

Yours faithfully,

Signature of the Authorized Signatory

Name:

Designation:

Name of the Firm:

Address:



Annexure- 15: Service Level and Non-Disclosure Agreement Format

THIS AGREEMENT IS EXECUTED ON THIS DAY OF 20..... AT BARODA.

BETWEEN

BANK OF BARODA, a body corporate constituted under the Banking Companies (Acquisition & Transfer of Undertakings) Act, 1970 having its Head Office at Baroda Bhawan, RC Dutt Road, Alkapuri, Vadodara- 390007 and Corporate Office at C-26, G Block, Baroda Corporate Centre, Bandra Kurla Complex, Bandra (East) Mumbai-400051 (hereinafter referred to as "the Bank" which expression shall unless it be repugnant to the context and meaning thereof be deemed to mean and include its successors and assigns) of the **One PART**.

AND

....., a company incorporated under the Companies Act 1956/ 2013, India, Limited Liability Partnership Act 2008/ Indian Partnership Act 1932 having its registered office at hereinafter referred to as "the Service Provider" (which expression shall, unless repugnant to the context and meaning thereof include its subsidiaries, affiliates, successors and permitted assigns) of the **other Part**,
(Bank and the Service Provider hereinafter are individually referred to as "Party" and collectively as "Parties")

WHEREAS

Bank of Baroda is one of the largest public sector banks (PSU) in India with a branch network of over 8,200+ branches in India and 93+ branches/ offices overseas including branches of our subsidiaries, distributed in 15+ countries and also sponsor of the RRBs. BOB desires to empanel a Service Provider for Conducting IS Audit of the common IT infrastructure, Cyber Security audit, Migration Audit of Various Systems and VAPT of its 3 sponsored RRBs –DC/ DR& NDR for the said purpose, BOB had issued RFP No. HO:RRB&RSETI:RRB:RFP:116:303 dated 18.11.2024 to invite the bids from eligible service providers. The Service Provider also submitted its offer and has represented that it is engaged in the business of Information System Audit. It further represented to Bank that it has the requisite skill, knowledge, experiences, experts, staff and capability to provide required service to Bank. Relying on representations of Service Provider and other applicable criteria, Service Provider was declared as a successful bidder in the RFP evaluation process.

It was a condition in the RFP that the Parties would enter into a Service Level and Non-Disclosure Agreement which shall include all the services and terms and conditions of the services to be extended as detailed here in.

NOW, THEREFORE, THIS AGREEMENT WITNESSETH AS FOLLOWS

1. TERM

This Agreement shall come into force on _____ and shall be in force and effect for a period for a period of -3- years, unless Bank/ RRBs terminates the Agreement by giving a

Request for Proposal for empanelment of external agencies for conducting comprehensive IS Audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and VAPT of our RRBs DC/ DR/ NDR Site



prior written notice of 30 days as per the terms of this Agreement. Bank may extend by a further period of 1 year post review of services rendered.

2. SCOPE OF SERVICE

The Service Provider agrees to perform the services as part of the scope of this engagement including but not limited to as mentioned in Schedule I of this Agreement. BOB/ RRBs reserves its right to change the scope of the services considering the size and variety of the requirements and the changing business & security conditions /environment with mutual consent.

3. STANDARDS

All standards to be followed will adhere to Bureau of Indian Standards (BIS) specifications or other acceptable standards.

4. CONTRACT PERIOD

(Terms mentioned in the RFP)

5. DELIVERY

(Terms mentioned in the RFP)

6. DOCUMENTATION

The Service Provider shall supply all necessary documentation for the training, use and operation of the system. This will include at least one set of original copies per installation of the user manuals, reference manuals, operations manuals, and system management manuals in English/Hindi.

7. SINGLE POINT OF CONTACT & DIRECT SUPPORT

(Please incorporate following details – Name, designation, address, email address, telephone /mobile No.

Escalation matrix for support should also be provided with full details.

8. PAYMENT TERMS

(Terms mentioned in the RFP)

9. SET-OFF

Without prejudice to other rights and remedies available to the Bank, Bank shall be entitled to set-off or adjust any amounts due to Bank under this clause from the Service Provider against payments due and payable by Bank to the Service Provider for the services rendered.

The provisions of this Clause shall survive the termination of this Agreement.

10. COVENANTS OF THE SERVICE PROVIDER

The Service Provider shall deploy and engage suitably experienced and competent personnel as may reasonably be required for the performance of the services. During the currency of this Agreement, the Service Provider shall not substitute the key staff identified for the services mentioned in this Agreement.

The Service Provider shall forthwith withdraw or bar any of its employee/s from the provision of the services if, in the opinion of BANK/ RRBs:

(i) The quality of services rendered by the said employee is not in accordance with the quality specifications stipulated by BANK/ RRBs; or

(ii) The engagement or provision of the services by any particular employee is prejudicial to the interests of BANK/ RRBs.

Request for Proposal for empanelment of external agencies for conducting comprehensive IS Audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and VAPT of our RRBs DC/ DR/ NDR Site



All employees engaged by the Service Provider shall be in sole employment of the Service Provider and the Service Provider shall be solely responsible for their salaries, wages, statutory payments etc. That under no circumstances shall BANK/RRBs be liable for any payment or claim or compensation (including but not limited to compensation on account of injury/death/termination) of any nature to the employees and personnel of the Service Provider.

The Service Provider:

- I. Shall be responsible for all negotiations with personnel relating to salaries and benefits, and shall be responsible for assessments and monitoring of performance and for all disciplinary matters.
- II. Shall not knowingly engage any person with a criminal record/conviction and shall bar any such person from participating directly or indirectly in the provision of services under this Agreement.
- III. Shall at all times use all reasonable efforts to maintain discipline and good order amongst its personnel.
- IV. Shall not exercise any lien on any of the assets, documents, instruments or material belonging to BANK/RRBs and in the custody of the Service Provider for any amount due or claimed to be due by the Service Provider from BANK/ RRBs.
- V. Shall regularly provide updates to BANK/ RRBs with respect to the provision of the services and shall meet with the personnel designated by BANK/ RRBs to discuss and review its performance at such intervals as may be agreed between the Parties.
- VI. Shall be responsible for compliance of all laws, rules, regulations and ordinances applicable in respect of its employees, sub-contractors and agents (including but not limited to code of Wages Act, Provident Fund laws, Workmen's Compensation Act) and shall establish and maintain all proper records including, but not limited to, accounting records required by any law, code, practice or corporate policy applicable to it from time to time, including records and returns as applicable under labour legislations.
- VII. Shall not violate any proprietary and intellectual property rights of BANK/ RRBs or any third party, including without limitation, confidential relationships, patent, trade secrets, copyright and any other proprietary rights in course of providing services hereunder.
- VIII. Shall ensure that the quality and standards of materials and services to be delivered or rendered hereunder, will be of the kind, quality and timeliness as designated by the BANK/ RRBs and communicated to the Service Provider from time to time.
- IX. Shall not work in a manner which, in the reasonable opinion of BANK/ RRBs, may be detrimental to the interests of BANK/ RRBs and which may adversely affect the role, duties, functions and obligations of the Service Provider as contemplated.
- X. Shall be liable to BANK/ RRBs for any and all losses of any nature whatsoever arisen directly or indirectly by negligence, dishonest, criminal or fraudulent act of any of the representatives and employees of the Service Provider while providing the services to the RRBs.
- XI. Shall itself perform the obligations under this Agreement and shall not assign, transfer or sub-contract any of its rights and obligations under this Agreement except with prior written permission of BANK.
- XII. Service Provider shall comply with the Bank's Code of Ethics, available on the Bank's website>Shareholder's Corner> Policies/Codes> Our Code of Ethics, during the validity period of this agreement/contract.

11. CONFIDENTIALITY

The Service Provider acknowledges that in the course of performing the obligations under this Agreement, it shall be exposed to or acquire information of the bank/ RRBs, which the Service Provider shall treat as confidential.

Request for Proposal for empanelment of external agencies for conducting comprehensive IS Audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and VAPT of our RRBs DC/ DR/ NDR Site



- a. All Bank/RRBs product and process details, documents, data, applications, software, systems, papers, statements and business / customer information which may be communicated to or come to the knowledge of Service Provider or Service Provider's employees during the course of discharging their obligations shall be treated as absolutely confidential and Service Provider irrevocably agrees and undertakes and ensures that Service Provider and its employees shall keep the same secret and confidential and not disclose the same, in whole or in part to any third party without prior written permission of BOB/ RRBs. The Service Provider shall not use or allow to be used any information other than as may be necessary for the due performance by Service Provider of its obligations hereunder.
- b. Service Provider shall not make or retain any copies or record of any Confidential Information submitted by BOB/ RRBs other than as may be required for the performance of Service Provider without explicit permission.
- c. Service Provider shall notify BOB/ RRBs promptly of any unauthorized or improper use or disclosure of the Confidential Information.
- d. Service Provider shall return all the Confidential Information that is in its custody, upon termination / expiry of this Agreement. Also so far as it is practicable Service Provider shall immediately expunge any Confidential Information relating to the projects from any computer, word processor or other device in possession or in the custody and control by Service Provider or its affiliates.
- e. Service Provider shall extent practicable, immediately furnish a certificate signed by its director or other responsible representative confirming that to the best of his/her knowledge, information and belief, having made all proper enquiries the requirements of this paragraph have been fully complied with.
- f. Service Provider hereby unconditionally agrees and undertakes that it and its employees shall not disclose the terms and conditions of the engagement Agreement/ Work Order or any other oral or written information which may contain, hold or bear confidential information or disclose the information submitted by BOB/ RRBs under any other Agreement to any third party unless such disclosure is mandatorily required by law or if it is required necessarily to be disclosed to any other agency/subcontractor or the like for the purpose of performing any of its obligations under the contract.

However the Confidential Information will not be limited to the information mentioned above but not include the following as Confidential Information:

- I. Without breach of these presents, has already become or becomes and/or hereinafter will become part of the public domain;
 - II. Prior to the disclosure by BOB/RRBs was known to or in the possession of the Service Provider at the time of disclosure ;
 - III. Was disclosed or parted with the prior consent of BOB/ RRBs;
 - IV. Was acquired by Service Provider from any third party under the conditions such that it does not know or have reason to know that such third party acquired directly or indirectly from BOB.
- The Service Provider agrees to take all necessary action to protect the Confidential Information against misuse, loss, destruction, deletion and/or alteration. It shall neither misuse or permit misuse directly or indirectly, nor commercially exploit the Confidential Information for economic or other benefit.
 - In any dispute over whether information or matter is Proprietary Information or not mentioned herein, it shall be the burden of Service Provider to show that such contested information or matter is not Proprietary Information within the meaning of this Agreement,

Request for Proposal for empanelment of external agencies for conducting comprehensive IS Audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and VAPT of our RRBs DC/ DR/ NDR Site



and that it does not constitute violation under any laws for the time being enforced in India.

Notwithstanding above, Bank/RRBs shall take all the reasonable care to protect all the confidential information of service provider delivered to RRBs while performing of the services. The confidentiality obligations shall survive the expiry or termination of the Agreement between the Service Provider and the Bank/ RRBs.

12. INDEMNITY

The Service Provider shall indemnify the Bank/ RRBs, and shall always keep indemnified and hold the Bank/ RRBs, its employees, personnel, officers, directors, (hereinafter collectively referred to as "Personnel") harmless from and against any and all losses, liabilities, claims, actions, costs and expenses (including attorneys' fees) relating to, resulting directly or indirectly from or in any way arising out of any claim, suit or proceeding brought against the Bank/ RRBs as a result of:

- Bank's/ RRBs authorized / bona fide use of the Deliverables and /or the Services provided by Service Provider under this Agreement; and/or
- An act or omission of the Service Provider and/or its employees, agents, sub-contractors in performance of the obligations under this Agreement; and/or
- Claims made by employees who are deployed by the Service Provider, against the Bank/ RRBs; and/or
- Claims arising out of employment, non-payment of remuneration and non-provision of statutory benefits by the Service Provider to its employees, its agents, contractors and sub-contractors
- Breach of any of the term of this Agreement or breach of any representation or false representation or inaccurate statement or assurance or covenant or warranty of the Service Provider under this Agreement; and/or
- Any or all Deliverables or Services infringing any patent, trademarks, copyrights or such other Intellectual Property Rights; and/or
- Breach of confidentiality obligations of the Service Provider contained in this Agreement; and/or
- Negligence or gross misconduct attributable to the Service Provider or its employees or sub-contractors.

The Service Provider shall at its own cost and expenses defend or settle at all point of time any claim against the Bank/ RRBs that the Deliverables and Services delivered or provided under this Agreement infringe a patent, utility model, industrial design, copyright, trade secret, mask work or trade mark in the country where the Deliverables and Services are used, sold or received, the Bank/ RRBs:

- Notifies the Service Provider in writing as soon as practicable when the Bank/ RRBs becomes aware of the claim; and
- Cooperates with the Service Provider in the defence and settlement of the claims.

However, (i) the Service Provider has sole control of the defense and all related settlement negotiations (ii) the Bank provides the Service Provider with the assistance, information and authority reasonably necessary to perform the above and (iii) the Bank does not make any statements or comments or representations about the claim without the prior written consent of the Service Provider, except where the Bank is required by any authority/regulator to make a comment/statement/representation.

If use of deliverables is prevented by injunction or court order because of any such claim or deliverables is likely to become subject of any such claim then the Service Provider, after Request for Proposal for empanelment of external agencies for conducting comprehensive IS Audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and VAPT of our RRBs DC/ DR/ NDR Site



due inspection and testing and at no additional cost to the RRBs, shall forthwith either 1) replace or modify the software / equipment with software / equipment which is functionally equivalent and without affecting the functionality in any manner so as to avoid the infringement; or 2) obtain a license for the RRBs to continue the use of the software / equipment, as required by the RRBs as per the terms and conditions of this Agreement and to meet the service levels; or 3) refund to the RRBs the amount paid for the infringing software / equipment and bear the incremental costs of procuring a functionally equivalent software / equipment from a third party, provided the option under the sub clause (3) shall be exercised by the RRBs in the event of the failure of the Service Provider to provide effective remedy under options (1) to (2) within a reasonable period which would not affect the normal functioning of the RRBs.

The Service Provider shall not be liable for defects or non-conformance resulting from:

- Software, hardware, interfacing, or supplies for the solution not approved by Service Provider; or
- any change, not made by or on behalf of the Service Provider, to some or all of the deliverables supplied by the Service Provider or modification thereof, provided the infringement is solely on account of that change ;

Indemnity shall exclude indirect, consequential and incidental damages. However indemnity would cover damages, loss or liabilities suffered by the Bank arising out of claims made by customer and / or regulatory authorities for reasons attributable to breach of obligations under this agreement by the Service Provider.

In the event of Service Provider not fulfilling its obligations under this clause within the period specified in the notice issued by the RRBs, it has the right to recover the amounts due to it under this provision from any amount payable to the Service Provider under this project.

The indemnities under this clause are in addition to and without prejudice to the indemnities given elsewhere in this Agreement.

13. PROPERTY RIGHTS

Each Party owns and retains all rights, title and interests in and to its respective Pre-Existing Intellectual Property and Independent Intellectual Property. Independent Intellectual Property means any Intellectual Property developed by a Party independently of the applicable statement of work. "Pre-Existing Intellectual Property" means any Intellectual Property owned by a Party, or licensed to such Party (other than by the other Party), as at the commencement date of the applicable statement of work.

Whereas title to all inventions and discoveries made jointly by the parties resulting from the Work performed as per this agreement shall reside jointly between the parties. Both the parties shall mutually decide the future course of action to protect/ commercial use of such joint IPR. The Intellectual Property Rights shall be determined in accordance with Indian Laws.

Without prejudice to above paras all the interim/ final deliverables shall be property of RRBs. Subject to requisite payments the service provider deemed to grand exclusive, perpetual rights to use of the deliverables in favor of RRBs.

14. PERFORMANCE GUARANTEE

Request for Proposal for empanelment of external agencies for conducting comprehensive IS Audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and VAPT of our RRBs DC/ DR/ NDR Site



During the period of empanelment, if the RRBs award any audit to the Service provider, the bidder should furnish a Performance Guarantee (other than Bank of Baroda and its sponsored RRBs) as required by the Bank to the extent of 10% of the value of the order placed within 15 days of each such order. The performance guarantee would be for the entire period of the contract plus 3 month.

In the event of non-performance of obligation or failure to meet terms of this Tender or subsequent agreement the Bank/ RRBs shall be entitled to invoke the performance guarantee without notice or right of demur to the Bidder.

The Bank/ RRBs reserves the right to recover any dues payable by the selected Bidder from any amount outstanding to the credit of the selected Bidder, including the pending bills and/or invoking Performance Guarantee, if any, under this contract.

15. TERMINATION

In following events Bank/ RRBs shall terminate this empanelment/ assignment or cancel any particular order if service provider:

- breaches any of its obligations set forth in this agreement and Such breach is not cured within 15 Working Days after the written notice; or
- Failure by Service Provider to provide within 15 Working Days, with a reasonable plan to cure such breach, which is acceptable to the Bank/ RRBs. Or
- The progress regarding execution of the contract/ services rendered by the Service Provider is not as per the prescribed time line, and found to be unsatisfactory.
- Supply of substandard materials/ services
- Delay in delivery / installation / commissioning of services.
- Discrepancy in the quality of service / security expected during the implementation, rollout and subsequent maintenance process.
- If deductions of penalty exceed more than 10% of the total contract price.

Further Bank may terminate this agreement/ empanelment on happening of following events:

- A liquidator or a receiver is appointed over all or a substantial part of the undertaking, assets or revenues of the Service Provider and such appointment continues for a period of twenty-one (21) days;
- The Service Provider is subject of an effective resolution for its winding up other than a voluntary winding up for the purpose of reconstruction or amalgamation.
- The Service Provider becomes insolvent or goes into liquidation voluntarily or otherwise
- An attachment is levied or continues to be levied for a period of 7 days.
- The Service Provider becomes the subject of a court order for its winding up.

Notwithstanding above, in case of change of policy or any unavoidable circumstances or without any reason Bank/ RRBs reserve the right to terminate this assignment or any subsequent agreement and / or any particular order, in whole or in part by giving Service Provider at least 60 days prior notice in writing.

Effect of termination

If bank terminates or cancels the assignment on the default mentioned in the termination clause, in such case Bank/ RRBs reserves the right to get the balance contract executed by another party of its choice. In this event, the Service Provider shall be bound to make good



the additional expenditure, which the RRBs may have to incur to carry out bidding process for the selection of a new service provider and for execution of the balance of the contract.

Immediately upon the date of expiration or termination of the Agreement, Bank/ RRBs shall have no further obligation to pay any fees for any periods commencing on or after such date.

Without prejudice to the rights of the Parties, upon termination or expiry of this Agreement, respective RRBs shall pay to Service Provider, within thirty (30) days of such termination or expiry, all the undisputed fees outstanding till the date of termination; upon the termination or expiry of this Agreement:

- The rights granted to Service Provider shall immediately terminate.
- The Service Provider shall not be relieved of its obligations under the reverse transition mechanism notwithstanding the termination of the assignment.
- Upon Bank's/ RRB's request, with respect to (i) any agreements for maintenance, disaster recovery services or other third-party services, and any Deliverables not owned by the Service Provider, being used by Service Provider to provide the Services and (ii) the assignable agreements, Service Provider shall, use its reasonable commercial endeavours to transfer or assign such agreements and Service Provider Equipment to Bank and its designee(s) on commercially reasonable terms mutually acceptable to both Parties.
- Upon Bank's/ RRB's request in writing, Service Provider shall be under an obligation to transfer to Bank/ RRBs or its designee(s) the Deliverables being used by Service Provider to perform the Services free and clear of all liens, security interests, or other encumbrances at a value calculated as stated.

16. CORPORATE AUTHORITY

The Parties represent that they have taken all necessary corporate action and sanction to authorize the execution and consummation of this Agreement and will furnish satisfactory evidence of same upon request.

17. LAW, JURISDICTION AND DISPUTE RESOLUTION

This Agreement shall be governed and construed and enforced in accordance with the laws of India. Both Parties shall agree that in respect of any dispute arising upon, over or in respect of any of the terms of this Agreement, only the courts in Vadodara shall have exclusive jurisdiction to try and adjudicate such disputes to the exclusion of all other courts.

ARBITRATION

- a) The Bank and the Service Provider shall make every effort to resolve amicably, by direct informal negotiation between the respective project managers/ directors of the Bank/ RRBs and the Service Provider, any disagreement or dispute arising between them under or in connection with the contract.
- b) If the RRB's/ Bank project manager/director and Service Provider project manager/director are unable to resolve the dispute after thirty days from the commencement of such informal negotiations, they shall immediately escalate the dispute to the senior authorized personnel designated by the Service Provider and Bank respectively.
- c) If after thirty days from the commencement of such negotiations between the senior authorized personnel designated by the Service Provider and Bank/ RRBs, the Bank/ RRBs and the Service Provider have been unable to resolve contractual dispute amicably, either party may require that the dispute be referred for resolution through formal arbitration.



- d) All questions, disputes or differences arising under and out of, or in connection with the contract or carrying out of the work whether during the progress of the work or after the completion and whether before or after the determination, abandonment or breach of the contract shall be referred to arbitration by a sole Arbitrator acceptable to both parties OR the number of arbitrators shall be three, with each side to the dispute being entitled to appoint one arbitrator. The two arbitrators appointed by the parties shall appoint a third arbitrator shall act as the chairman of the proceedings.
- e) The place of arbitration shall be Bank's office that placed the order. The Arbitration and Conciliation Act 1996 or any statutory modification thereof shall apply to the arbitration proceedings.
- f) The arbitral award shall be in writing, state the reasons for the award, and be final and binding on the parties. The award may include an award of costs, including reasonable attorneys' fees and disbursements. Judgment upon the award may be entered by any court having jurisdiction thereof or having jurisdiction over the relevant Party or its assets.

18. AUDIT

All Service Provider records with respect to any matters covered by this Agreement shall be made available to auditors and or inspecting officials of the Bank/ RRBs and/or Reserve Bank of India and/or any regulatory authority, at any time during normal business hours, as often as the Bank/ RRBs deems necessary, to audit, examine, and make excerpts or transcripts of all relevant data. Said records are subject to examination. Bank's/ RRB's auditors would execute confidentiality agreement with the Service Provider provided that the auditors would be permitted to submit their findings to the Bank/ RRBs, which would be used by the Bank/ RRBs. The cost of the audit will be borne by the RRBs. The scope of such audit would be limited to Service Levels being covered under the contract, and financial information would be excluded from such inspection, which will be subject to the requirements of statutory and regulatory authorities.

The Bank/ RRBs and its authorized representatives, including Reserve Bank of India (RBI) or any other regulator shall have the right to visit any of the Service Provider's premises without prior notice to ensure that data provided by the Bank/ RRBs is not misused. The Service Provider shall cooperate with the authorized representative/s of the Bank/ RRBs and shall provide all information/ documents required by the Bank/ RRBs.

19. LIMITATION OF LIABILITY

Except the grounds mentioned under the para two of this clause, Service Provider's aggregate liability in connection with obligations undertaken as a part of the Agreement regardless of the form or nature of the action giving rise to such liability (whether in contract, tort or otherwise), shall be at actual and limited to the Total Contract Value.

However, Service Provider's liability in case of claims against the Bank/ RRBs resulting from Wilful Misconduct or Gross Negligence of Service Provider, its employees and Subcontractors or from infringement of patents, trademarks, copyrights or such other Intellectual Property Rights or breach of confidentiality obligations shall be unlimited.

Bank/ RRBs shall not be held liable for and is absolved of any responsibility or claim / litigation arising out of the use of any third party software or modules supplied by Service Provider as part of procurement under the Agreement.

Under no circumstances BOB/ respective RRBs shall be liable to the Service Provider for direct, indirect, incidental, consequential, special or exemplary damages arising from Request for Proposal for empanelment of external agencies for conducting comprehensive IS Audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and VAPT of our RRBs DC/ DR/ NDR Site



termination of this Agreement, even if BOB has been advised of the possibility of such damages, such as, but not limited to, loss of revenue or anticipated profits or lost business.

Subject to any law to the contrary, and to the maximum extent permitted by law neither parties shall be liable to other for any consequential/ incidental, or indirect damages arising out of this agreement.

All employees engaged by the party shall be in sole employment of the party and the respective parties shall be solely responsible for their salaries, wages, statutory payments etc. That under no circumstances shall other party be liable for any payment or claim or compensation (including but not limited to compensation on account of injury/death/termination) of any nature to the employees and personnel of the other party.

20. PUBLICITY

Any publicity by the Service Provider in which the name of the Bank/ RRBs is to be used should be done only with the explicit written permission of the Bank/ RRBs.

21. INDEPENDENT ARRANGEMENT

This Agreement is on a principal-to-principal basis between the Parties hereto. Nothing contained in this Agreement shall be construed or deemed to create any association, partnership or joint venture or employer-employee relationship or principal-agent relationship in any manner whatsoever between the parties. The Service Provider acknowledges that its rendering of services is solely within its own control, subject to the terms and conditions agreed upon and agrees not to hold it out to be an employee, agent or servant of Bank/ RRBs or Affiliate thereof.

22. SUBCONTRACTING

The Service Provider shall not subcontract or permit anyone other than its personnel to perform any of the work, service or other performance required by it under the contract without the prior written consent.

23. ASSIGNMENT

The Service Provider agrees that the Service Provider shall not be entitled to assign any or all of its rights and or obligations under this Agreement to any entity including Service Provider's affiliate without the prior written consent of the Bank.

In case of a merger, amalgamation, takeover, consolidation, reconstruction, change of ownership, etc., this Agreement along with the subsequent Addendums published shall be considered to be assigned to the new entity and such an act shall not affect the obligations of the Service Provider under this Agreement.

24. NON – SOLICITATION

The Service Provider, during the term of the contract shall not without the express written consent of the Bank/ RRBs, directly or indirectly: a) recruit, hire, appoint or engage or attempt to recruit, hire, appoint or engage or discuss employment with or otherwise utilize the services of any person who has been an employee or associate or engaged in any capacity, by the Bank/ RRBs in rendering services in relation to the contract; or b) induce

Request for Proposal for empanelment of external agencies for conducting comprehensive IS Audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and VAPT of our RRBs DC/ DR/ NDR Site



any person who shall have been an employee or associate of the Bank/ RRBs at any time to terminate his/ her relationship with the Bank/ RRBs.

The above restriction would not apply to either party for hiring such key personnel who (i) initiate discussions regarding such employment without any direct or indirect solicitation by the other party (ii) respond to any public advertisement placed by either party or its affiliates in a publication of general circulation or (iii) has been terminated by a party prior to the commencement of employment discussions with the other party.

25. VICARIOUS LIABILITY

The Service Provider shall be the principal employer of the employees, agents, contractors, subcontractors, etc., if any, engaged by the Service Provider and shall be vicariously liable for all the acts, deeds, matters or things, whether the same is within the scope of power or outside the scope of power, vested under the contract. No right of any employment in the Bank/ RRBs shall accrue or arise, by virtue of engagement of employees, agents, contractors, subcontractors etc., by the Service Provider for any assignment under the contract. All remuneration, claims, wages dues etc., of such employees, agents, contractors, subcontractors etc., of the Service Provider shall be paid by the Service Provider alone and the Bank/ RRBs shall not have any direct or indirect liability or obligation, to pay any charges, claims or wages of any of the Service Provider's employees, agents, contractors, subcontractors etc. The Service Provider shall agree to hold the Bank, its successors, assigns and administrators fully indemnified, and harmless against loss or liability, claims, actions or proceedings, if any, whatsoever nature that may arise or caused to the Bank through the action of Service Provider's employees, agents, contractors, subcontractors, etc.

26. FORCE MAJEURE

The Service Provider shall not be liable for forfeiture of its performance security, liquidated damages, penalties or termination for default, if any to the extent that its delay in performance or other failure to perform its obligations under the contract is the result of an event of Force Majeure.

For purposes of this Clause, "Force Majeure" means an event explicitly beyond the reasonable control of the Service Provider and not involving the Service Provider's fault or negligence and not foreseeable. Such events are Acts of God or of public enemy, acts of Government of India in their sovereign capacity, strikes, political disruptions, bandhs, riots, civil commotions and acts of war.

If a Force Majeure situation arises, the Service Provider shall promptly in writing of such conditions and the cause thereof within fifteen calendar days. Unless otherwise directed by in writing, the Service Provider shall continue to perform.

Service Provider's obligations under this Agreement as far as is reasonably practical, and shall seek all reasonable alternative means for performance not prevented by the Force Majeure event.

In such a case the time for performance shall be extended by a period(s) not less than duration of such delay. If the duration of delay continues beyond a period of three months,



the Bank/ RRBs and Service Provider shall hold consultations in an endeavour to find a solution to the problem.

SURVIVAL

The expiry or the termination of this Agreement does not relieve either party of its obligations which by their nature ought or intend to survive the termination of this Agreement including without limitation to the clauses of confidentiality, indemnity, limitation of liability, and covenants of the parties.

27. INSURANCE & PENALTIES

The Firm should obtain Professional Liability Insurance to cover the risk of errors, omissions and/or negligence in conducting the audit activity. The policy should cover the total contract value/total fee quote.

- a) The Auditor / firms shall indemnify the Bank/ RRBs against all actions, omissions, proceedings, claims, suits, damages, liquidated damages, consequential damages and any other expenses for causes attributable to the Auditor / firm including any loss suffered on account of any breach of the terms and conditions of the offer of the appointment. Firm shall be liable for the penalty to the extent of actual loss suffered or the total professional fee payable/ total contract value whichever is lower.
- b) If the performance is found wanting, then the services of the Auditors shall be terminated / blacklisted with due intimation at the discretion of the RRBs and such Audit Firms shall stand de-empanelled. This is without prejudice to referring the issues to the respective professional body (CERT-In and also to RBI) and also claim damages for such unsatisfactory service, whatsoever by the firm or any of its employees.
- c) The Audit Firm shall follow the time norms for completing the Audit and submitting the Audit Report. If there is any weekly delay in submission of the report or the report is wanting in material aspect 2% of the Yearly Audit Fee will be deducted per occasion without any further reference. The deduction will be revised upward to 5% from 2% of the Yearly Audit Fee, if the deficiency continues for more than 2 weeks. However it is the responsibility of the successful bidder to prove that the delay is attributed to BOB and Force Majeure. The decision taken by BOB/ RRBs in this regard shall be final and Service Provider shall not dispute the same.
- d) If the successful bidder fails to complete the due performance as per this RFP and subsequent agreement, BOB/ RRBs reserves the right to terminate the contract and recover Liquidated Damages 15% of contract value.
- e) Both the above Penalty and Liquidated Damages are independent of each other and leviable applicable separately and concurrently.
- f) If the Service Provider fails to perform its obligation as per this Agreement then BOB/ RRBs reserves the right to get the balance work executed by another service provider as per choice and Service Provider shall be liable to bear the expenditure which may be incurred for the execution of balance work and its completion.
- g) Penalty and Liquidated Damages are not applicable for reasons attributable to the Bank/ RRBs and Force Majeure. However, it is the responsibility of the Bidder to prove that the delay is attributed to the Bank/ RRBs or Force Majeure. The Bidder shall submit the proof authenticated by the Bidder and Bank's/RRB's official that the delay is attributed to the Bank/ RRBs or Force Majeure along with the bills requesting payment. If the delay is attributable to the Bank/ RRBs, or Force Majeure, or any other circumstances beyond the control of the selected Bidder, then the Bank/ RRBs will extend the period of contract to the extent of delay without charging any Penalty / Liquidated Damages.

Request for Proposal for empanelment of external agencies for conducting comprehensive IS Audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and VAPT of our RRBs DC/ DR/ NDR Site



28. MISCELLANEOUS

Any provision of this Agreement may be amended or waived if, and only if such amendment or waiver is in writing and signed, in the case of an amendment by each Party, or in the case of a waiver, by the Party against whom the waiver is to be effective.

No failure or delay by any Party in exercising any right, power or privilege hereunder shall operate as a waiver thereof nor shall any single or partial exercise of any other right, power or privilege. The rights and remedies herein provided shall be cumulative and not exclusive of any rights or remedies provided by law.

Unless otherwise provided herein, all notices or other communications under or in connection with this Agreement shall be given in writing and may be sent by personal delivery or post or courier or facsimile to the person at the address given below. Any such notice or other communication will be deemed to be effective if sent by personal delivery, when delivered, if sent by post, two days after being deposited in the post and if sent by courier, one day after being deposited with the courier, and if sent by facsimile, when sent (on receipt of a confirmation to the correct facsimile number).

The addresses referred to hereinabove are:

If to the Bank of Baroda:

To,
The RFP Co-ordinator
Chief Security Information Officer- RRBs
RRB Cell, RRBs & RSETIs Dept., Bank of Baroda,
4th floor, Baroda Bhawan, R C Dutt Road, Alkapuri
Vadodara- 390007

If to the
Address _____
ATTN: _____

This Agreement constitutes the entire agreement between the Parties with respect to the subject matter hereof and supersedes all prior written agreements, understandings and negotiations, both written and oral, between the Parties with respect to the subject matter of this Agreement. No representation, inducement, promise, understanding, condition or warranty not set forth herein has been made or relied upon by any Party hereto. In case of any contradiction in the terms of RFP _____, offer document and Purchase Order etc., and this Agreement the terms hereof shall prevail.

Neither this Agreement nor any provision hereof is intended to confer upon any Person other than the Parties to this Agreement any rights or remedies hereunder.

In connection with this Agreement, as well as all transactions contemplated by this Agreement, each Party agrees to execute and deliver such additional documents and to perform such additional actions as may be necessary, appropriate or reasonably requested to carry out or evidence the transactions contemplated hereby.

The invalidity or unenforceability of any provisions of this Agreement in any jurisdiction shall not affect the validity, legality or enforceability of the remainder of this Agreement in such jurisdiction or the validity, legality or enforceability of this Agreement, including any such

Request for Proposal for empanelment of external agencies for conducting comprehensive IS Audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and VAPT of our RRBs DC/ DR/ NDR Site



provision, in any other jurisdiction, it being intended that all rights and obligations of the Parties hereunder shall be enforceable to the fullest extent permitted by law.

The captions herein are included for convenience of reference only and shall be ignored in the construction or interpretation hereof.

This Agreement may be signed in duplicate, each of which shall be deemed to be an original.

IN WITNESS WHEREOF, this Agreement has been executed by the Parties hereto on the day and year first above written.

Signed and Delivered by the within named

For Bank of Baroda Sign : Name : Title :Authorized Signatory Address:	For M/s _____ Sign ; Name : Title : Authorized Signatory as per Board Approval Address:
--	---

Date: _____

Place: Vadodara



Annexure 16 – Integrity Pact
PRE CONTRACT INTEGRITY PACT
(To be stamped as an Agreement)

Between

BANK OF BARODA, a body corporate constituted under the provisions of Banking Companies (Acquisition and Transfer of Undertakings) Act, 1970 and having its Head Office at Mandvi, Baroda and Corporate Office at Baroda Corporate Centre, C-26, G-Block, Bandra-Kurla Complex, Bandra East, Mumbai 400051 (hereinafter referred to as “BOB”; which expression shall, unless it be repugnant to the meaning or context thereof, be deemed to mean and include its successors and assigns);

And

....., a company incorporated under the (Indian) Companies Act, 1956 / 2013 and whose registered office is at _____ through its authorized representative Mr. _____ hereinafter referred to as “Bidder”, which expression shall, unless it be repugnant to the meaning or context thereof, be deemed to mean and include its successors and permitted assigns)

BOB is a one of the nationalized PSU Bank having its presence throughout India and _____ overseas territories. BOB is committed to fair and transparent procedure in appointing of it's outsource service providers.

The BOB intends to empanel the Security Auditors for the purpose of RRBs.

BOB values full compliance with all relevant laws of the land, rules, regulations, economic use of resources and of fairness / transparency in its relations with its Bidder(s) and / or Contractor(s).

In order to achieve these goals, the BOB will appoint Independent External Monitors (IEM) who will monitor the tender process and the execution of the contract for compliance with the principles mentioned above.

Section 1 - Commitments of BOB

(1) The BOB commits itself to take all measures necessary to prevent corruption and to observe the following principles:-

a. No employee of the BOB , personally or through its family members , will in connection with the tender for , or the execution of a contract, demand ; take a promise for or accept, for self or third person, any monetary or non-monetary benefit which the person is not legally entitled to.

b. The BOB will, during the tender process treat all Bidder(s) with equity and reason. The BOB will in particular, before and during the tender process, provide to all Bidder(s) the same information and will not provide to any Bidder(s) confidential / additional information through which the Bidder(s) could obtain an advantage in relation to the tender process or the contract execution.

c. The BOB will make endeavour to exclude from the selection process all known prejudiced persons.

Request for Proposal for empanelment of external agencies for conducting comprehensive IS Audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and VAPT of our RRBs DC/ DR/ NDR Site



(2) If the BOB obtains information on the conduct of any of its employees which is a criminal offence under the IPC/ PC Act, or if there be a substantive suspicion in this regard, the BOB will inform the Chief Vigilance Officer and in addition can initiate disciplinary actions.

Section 2 - Commitments of the Bidder(s)/ Contractor(s)

The Bidder(s) / Contractor(s) commit themselves to take all measures necessary to prevent corruption. The Bidder(s) / Contractor(s) commit themselves to observe the following principles during participation in the tender process and during the contract execution.

- a) The Bidder(s) / Contractor(s) will not, directly or through any other person or firm, offer, promise or give to any of the BOB employees involved in the tender process or the execution of the contract or to any third person any material or other benefit which he/she is not legally entitled to, in order to obtain in exchange any advantage of any kind whatsoever during the tender process or during the execution of the contract.
- b) The Bidder(s) / Contractor(s) will not enter with other Bidders into any undisclosed agreement or understanding, whether formal or informal. This applies in particular to prices, specifications, certifications, subsidiary contracts, submission or non-submission of bids or any other actions to restrict competitiveness or to introduce cartelization in the bidding process.
- c) The Bidder(s)/ Contractor(s) will not commit any offence under the relevant IPC/ PC Act; further the Bidder(s) / Contractor(s) will not use improperly, for purposes of competition or personal gain, or pass on to others, any information or document provided by the BOB as part of the business relationship, regarding plans, technical proposals and business details, including information contained or transmitted electronically.
- d) The Bidder(s) / Contractor(s) of foreign origin shall disclose the name and address of the Agents/ representatives in India, if any, similarly the Bidder(s) /Contractor(s) of Indian Nationality shall furnish the name and address of the foreign principals, if any.
- e) The Bidder(s) / Contractor(s) will, when presenting their bid, disclose any and all payments made, is committed to or intends to make to agents, brokers or any other intermediaries in connection with the award of the contract.
- f) Bidder(s) / Contractor(s) who have signed the Integrity Pact shall not approach the Courts while representing the matter to IEMs and shall wait for their decision in the matter.
- g) The Bidder(s) / Contractor(s) will not instigate third persons to commit offences outlined above or be an accessory to such offences.

Section 3 - Disqualification from tender process and exclusion from future contracts

If the Bidder(s) /Contractor(s), before award or during execution has committed a transgression through a violation of Section 2, above or in any other form such as to put their reliability or credibility in question, the BOB is entitled to disqualify the Bidder(s) / Contractor(s) from the tender process or take action as per law in force.

Section 4 - Compensation for Damages

Request for Proposal for empanelment of external agencies for conducting comprehensive IS Audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and VAPT of our RRBs DC/ DR/ NDR Site



(1) If the BOB has disqualified the Bidder(s) from the tender process prior to the award according to Section 3, the BOB is entitled to demand and recover the damages equivalent to Earnest Money Deposit/ Bid Security.

(2) If the BOB has terminated the contract according to Section 3, or if the BOB is entitled to terminate the contract according to Section 3, the BOB shall be entitled to demand and recover from the Contractor liquidated damages of the Contract value or the amount equivalent to Performance Bank Guarantee.

Section 5 - Previous transgression

(1) The Bidder declares that no previous transgressions occurred in the last three years with any other Company in any country conforming to the anti-corruption approach or with any Public Sector Enterprise in India that could justify his exclusion from the tender process.

2) If the Bidder makes incorrect statement on this subject, he can be disqualified from the tender process

Section 6 - Equal treatment of all Bidders | Contractors | Subcontractors

(1) In case of Sub-contracting, the Principal Contractor shall take the responsibility of the adoption of Integrity Pact by the Sub-contractor.

(2) The BOB will enter into agreements with identical conditions as this one with all Bidders and Contractors.

(3) The BOB will disqualify from the tender process all bidders who do not sign this Pact or violate its provisions.

Section 7 - Criminal charges against violating Bidder(s) | Contractor(s) | Subcontractor(s)

If the BOB obtains knowledge of conduct of a Bidder, Contractor or Subcontractor, or of an employee or a representative or an associate of a Bidder, Contractor or Subcontractor which constitutes corruption, or if the BOB has substantive suspicion in this regard, the BOB will inform the same to the Chief Vigilance Officer.

Section 8 - Independent External Monitor

(1) The BOB appoints competent and credible Independent External Monitor for this Pact after approval by Central Vigilance Commission. The task of the Monitor is to review independently and objectively, whether and to what extent the parties comply with the obligations under this agreement.

(2) The Monitor is not subject to instructions by the representatives of the parties and performs his/ her functions neutrally and independently. The Monitor would have access to all Contract documents, whenever required. It will be obligatory for him / her to treat the information and documents of the Bidders/Contractors as confidential.

(3) The Bidder(s) / Contractor(s) accepts that the Monitor has the right to access without restriction to all Project documentation of the BOB including that provided by the bidder/

Request for Proposal for empanelment of external agencies for conducting comprehensive IS Audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and VAPT of our RRBs DC/ DR/ NDR Site



Contractor. The bidder/ Contractor will also grant the Monitor, upon his/ her request and demonstration of a valid interest, unrestricted and unconditional access to their project documentation. The same is applicable to Sub-contractors.

(4) The Monitor is under contractual obligation to treat the information and documents of the Bidder(s) / Contractor(s) / Sub-contractor(s) with confidentiality. The Monitor has also signed 'Non-Disclosure of Confidential Information'. In case of any conflict of interest arising during the selection period or at a later date, the IEM shall inform BOB and recuse himself / herself from that case.

(5) The BOB will provide to the Monitor sufficient information about all meetings among the parties related to the Project provided such meetings could have an impact on the contractual relations between the BOB and the Contractor. The parties offer to the Monitor the option to participate in such meetings.

(6) As soon as the Monitor notices, or believes to notice, a violation of this agreement, he/ she will so inform the Management of the BOB and request the Management to discontinue or take corrective action, or to take other relevant action. The monitor can in this regard submit non-binding recommendations. Beyond this, the Monitor has no right to demand from the parties that they act in a specific manner, refrain from action or tolerate action.

(7) The Monitor will submit a written report to the BOB officials within 15 days from the date of reference or intimation to him by the BOB and, should the occasion arise, submit proposals for correcting problematic situations.

(8) If the Monitor has reported to the BOB, a substantiated suspicion of an offence under relevant IPC/ PC Act, and the BOB has not, within the reasonable time taken visible action to proceed against such offence or reported it to the Chief Vigilance Officer, the Monitor may also transmit this information directly to the Central Vigilance Commissioner.

(9) The word 'Monitor' would include both singular and plural.

Section 9 - Pact Duration

This Pact shall be effective from the date of its execution and shall expires for the selected Contractor till the contract period, and for all other Bidders 6 months after the contract has been awarded. Any violation of the same would entail disqualification of the bidders and exclusion from future business dealings.

Section 10 Other provisions

(1) This agreement is subject to Indian Law and court of Vadodara shall have exclusive jurisdiction to entertain any matter arising out of this pact.

(2) Changes and supplements as well as termination notices need to be made in writing.

(3) If the Contractor is a partnership or a consortium, this agreement must be signed by all partners or consortium members.

(4) Should one or several provisions of this agreement turn out to be invalid, the remainder of this agreement remains valid. In this case, the parties will strive to come to an agreement to their original intentions.

(5) Issues like scope of work, Warranty / Guarantee etc. shall be outside the purview of IEMs.

Request for Proposal for empanelment of external agencies for conducting comprehensive IS Audit of Applications/ Systems, Cyber Security Audit, Migration Audit of various Systems and VAPT of our RRBs DC/ DR/ NDR Site



(6) In the event of any contradiction between the Integrity Pact and RFP/ RFQ/ tender documents and its Annexure, the Clause in the Integrity Pact will prevail.

The parties hereby sign this Integrity Pact at _____ on _____

BOB

Name of the Officer:

Designation:

Date:

Place:

Witness

1. _____

2. _____

BIDDER

Chief Executive Officer

Department:

Date:

Place:

Witness

1. _____

2. _____



Annexure 17 – Declaration/ undertaking from bidder to comply with the Information and cyber security controls

(This letter should be on the letterhead of the Bidder duly signed by an authorized signatory)

To

The RFP Co-ordinator
Chief Security Information Officer- RRBs
RRB Cell, RRBs & RSETIs Dept., Bank of Baroda,
4th floor, Baroda Bhawan, R C Dutt Road, Alkapuri
Vadodara- 390007

Madam/ Sir,

Sub: REF: Your RFP: HO:RRB&RSETI:RRB:RFP:116/303 Date: 18.11.2024

Further to our proposal dated, in response to the Request for Proposal..... (Bank's tender No. hereinafter referred to as "RFP") issued by Bank of Baroda ("Bank") we hereby covenant, warrant and confirm as follows:

We hereby agree to comply with the Information and cyber security controls as per Bank's and Regulatory Authorities IT Security Guidelines on an ongoing basis and regulatory / legal guidelines and directives related to SP / outsourcing issued by regulators / legal entities from time to time. The SP shall provide access to the regulators, legal authorities, Bank and Bank appointed auditors for on-site/off-site supervision.

We ensure that outsourced critical IT service are subjected to the annual IT audit / Technology risk assessment process by an independent professional agency as approved by the local government or regulator at no extra cost to the Bank

We abide with all clauses of Bank's Cyber Security Controls which will be part of the NDA/SLA signed with the Bank at the time of award of contract.

Authorized Signatory

Name:

Designation:

Bidder's Corporate Name

Address

Email and Phone #



Annexure 18 - Letter of Undertaking from Bidder on Compliance to RBI Master Direction on Outsourcing of IT Services RBI/2022-23/xx DoS.CO.CSITEG/SEC.xx/31.01.015/2022-23 Dated 23rd June 2022

Madam/ Sir,

Sub: REF: Your RFP: HO:RRB&RSETI:RRB:RFP:116/303 Date: 18.11.2024

We (Name of Bidder) who are established and reputable manufacturers / developers of do hereby undertake that I/We have read and fully understood the outsourcing guidelines as mentioned in the RBI Circular No. DoS.CO.CSITEG/SEC.xx/31.01.015/2022-23 dated 23rd June 2022 for Draft Master Direction on Outsourcing of IT Services.

We do hereby undertake that we comply with the outsourcing guidelines as mentioned in the RBI Circular No. DoS.CO.CSITEG/SEC.xx/31.01.015/2022-23 dated 23rd June 2022 for Draft Master Direction on Outsourcing of IT Services and we are submitting point-wise compliance and details along with the technical proposal.

Bidder will follow RBI guidelines in the subjected circular during entire period of empanelment.

Authorized Signatory

Name:

Designation:

Vendor's Corporate Name:

Date: