

REQUEST FOR PROPOSAL (RfP)

Empanelment of CA firms for Information Security Audit for the year 2021-22

IMPORTANT Date

DATE OF ISSUE OF RFP : 14 -10-2021

LAST DATE AND TIME OF SUBMISSION OF RFP : 03-11-2021 up to 5:00 P.M

Saurashtra Gramin Bank,

Head Office,

Audit & Inspection Department.

1st Floor, Wing - 2,

LIC Jeevan Prakash Building,

Tagore Road, Rajkot - 360 001(Gujarat)

Telephone: (0281- 2482421/22)

Notice inviting tender for empanelment of CA firm for Information Security Audit for the year 2021-22

Saurashtra Gramin Bank invites tenders from firms fulfilling criteria in two bid-systems (Technical Bid & Financial Bid) for empanelment of CA firm for Information Security Audit for the year 2021-22. General terms & conditions, Pre-qualification criteria & tender document are given on bank's website www.sgbrrb.org. The offer should be submitted in two sealed cover.

❖ **Pre-qualification criteria (Technical Bid):**

1. Technical bid in **Annexure-B, Annexure-C** along with application (**Annexure-A**) accepting terms and conditions must be submitted.
2. The CA firm for Information Security Audit should have minimum five years of previous track record of carrying out concurrent audits in other Financial Institutions / Public /private Sector Banks.
3. CA firm for Information Security Audit should contain detailed statement giving the various particulars of the proposal covering aspects of the applicant like name and location, year of establishment, names of its partners, staff, their qualification, experience, registration number of the firm/ LLP, Qualifications such as CISA (offered by ISACA), CISSP (offered by (ISC)2), or DISA (offered by ICAI or IIBF), Certificate of Practice details, methodology proposed and all other such relevant particulars in the format given in **Annexure B**.
4. Copy of **Income Tax PAN, GST Certificate** should be attached in Technical Bid Documents.
5. Any existing empanelment with Govt., SBI or any other public sector/ private bank/ other banks should be provided.
6. It is compulsory that CA firm's Head Office or Branch office should be in the area of operation of the Bank i.e. in 11 districts of Saurashtra region, otherwise application will be considered rejected ab-initio.
7. All attachments must be in A4 Page Setup & Prescribe Format only (Like Annexure – A, B, C, D, E)
8. Financial Bid will be opened only of technically qualified CA firms for Information Security Audit.

Rates are to be quoted most competitive. The prices will be inclusive of all taxes, lodgings, boarding and transportation but excluding GST.

Bank reserves its right for finalisation of the CA firms even though L-1 rate in tendering without any intimation and the Bank also reserves the right to call for fresh quotes at any time during the period, if found necessary.

CA firm for Information Security Audit have to submit two covers as under:

Cover : 1

In separate cover with following documents must be submitted with Technical Bid & heading on the cover should be **“TECHNICAL BID FOR empanelment of IS Audit (CA firm name / Address with Mobile No.)”**

<u>Sr No</u>	Photocopies of following documents to be submitted with Technical Bid
1	Signed Technical Bid accepting terms and conditions in <u>Annexure-B & Annexure - C</u>
2	Profile of company / firm registration certificate / Partnership deed /Memorandum of Association / Article of Association and forwarding letter including strength of staff
3	I.T.PAN, GST Certificate
4	Photo copy of Valid (In-Force) CISA/DISA certificate
5	Experience letter
6	Declaration as per Annexure- D

Cover: 2

Financial Bid (Annexure -F) should be submitted in Separate Cover with heading on Cover **“FINANCIAL BID FOR EMPANELMENT of IS Audit (CA firm name / Address with Mobile No.)”**

Bids must be received at General Manager, Saurashtra Gramin Bank, Head Office, 1st floor, Wing – 2, LIC Jeevan Prakash Building, Tagore Road, Rajkot, before or up to 17.00 pm of 03.11.2021. Late applications will not be accepted under any circumstances. No special pleadings will be entertained. E-mail applications are not be accepted.

After the expiry of time for submission of application, the envelope would be opened in respect of all the applicants to verify the compliance of the applicants with the prescribed Technical Evaluation requirements.

Yours faithfully,

GENERAL MANAGER

A. Eligibility criteria

Applicant should be a member of the

- a) CISA (offered by ISACA), CISSP (offered by (ISC)
- b) or DISA (offered by ICAI or IIBF).
 - i. CA firm for Information Security Audit should have experience of bank audit work.
 - ii. CA firm for Information Security Audit should not have been terminated/eliminated by SGB or other Financial Institutions / Public /private Sector Banks due to unsatisfactory performance in past.
 - iii. Auditors should not have been disqualified under section 141 of the Companies Act, 2013 to accept this appointment.

B. Guidelines for application and Branch allotment:

- a. Bank will publish advertisement in newspaper and also upload on Bank's website; the eligible / interested firms have to send the hard copy of application duly filled in as per **Annexure -A** to the Bank.
- b. Rates are to be quoted most competitive. The prices will be inclusive of all taxes, lodgings, boarding and transportation but excluding GST.**
- c. SGB will endeavor to make available all relevant information in the RfP. **In case of requirement of any further information or clarification during the application period, correction /other information will be displayed on Bank's website only;** the applicant must contact only on the Contact number given on website. Under no occasion the applicant may communicate directly with any other SGB officials.
- d. The firm may quote their rates in financial bid per branch for the centers/Groups shown in **Annexure- F**.
- e. Mere application by the audit firm for registration for empanelment in Saurashtra Gramin Bank shall not entitle them for the assignment. Bank's decision in selection/ appointment will be final.
- f. Upon selection of an audit firm for empanelment, Bank shall communicate the selection to such firm by way of e-mail / letter and after receipt of their acceptance letter, CA firm will be treated as empaneled for IS audit.
- g. The allocation of branches to the auditors will be purely the prerogative of the Bank.
- h. Selected firm has to submit hard copies of the acceptance letter duly signed on the letter head of the firm by authorized person within 7 days from receipt of Bank's offer letter, failing of which their empanelment will be cancelled.
- i. In respect of firms, which are not being selected, no further communication will be entertained by the Bank.

C. Scope of Audit:

The system of IS audit has been introduced mainly with the following objectives.

1. The main role of IS Auditor is to supplement the efforts of the bank in carrying out the Information Technology and Information Security functions as per respective policy of the bank.

2. The scope will also include covering cyber security aspects as laid down in cyber security policy of the bank.
3. The IS auditor will also study and identify any breach of these policy by any user of the bank.
4. To ensure that violation, if any, in the system and procedures of the bank are brought to the notice of the management immediately so that timely corrective and remedial steps can be taken and avoid recurrence.
5. Any non-conformity to existing guideline related to Information Security issued by regulators viz. NABARD/RBI should be flagged to management for timely compliance.
6. To pick up and report early warning signals in right time.
7. To report serious irregularities / fraudulent activities noticed at the branch.
8. IS audit has a very important role in identifying system lapses, irregularities of every type, Cyber Security and ensuring compliance of all other guidelines.
9. Prescribed format will be provided to CA firm for Information Security Audit and IS audit will be done only as per that form for each branch separately.

D. Indemnity

The successful applicant shall exercise reasonable skill, care and diligence in the performance of the assignment and indemnify and keep SGB indemnified in respect of any loss, damage or claim howsoever arising out of or related to breach of contract, statutory duty or negligence by the firm/ LLP or its staff, agents or sub-contractors in relation to the performance or otherwise of the Services to be provided under this Contract.

E. Termination

SGB may, at its sole discretion and at any time after giving seven days' notice can terminate the Contract and inform the CAs regarding SGB's decision by written instruction to that effect. In the event of the Contract being so terminated, the firm/ LLP shall take such steps as are necessary to bring the Services to an end, (including terminating any sub-contracts placed by the firm/ LLP) in a cost effective, timely and orderly manner. No further correspondence will be entertained in this regard.

Application to be submitted by CA firm for information security audit assignment

From:

Chartered Accountants

Date:

To,
The General Manager
Saurashtra Gramin Bank, Head Office
Audit & Inspection Department
Wing-2, 1st Floor, LIC Jeevan Prakash Building,
Tagore Road, Rajkot - 360 001(Gujarat)
Phone No. : (0281- 2482421/22)

Dear Sir,

Re: Application for empanelment of CA firm for Information Security Audit

We are submitting the application for empanelment of our firm CA firm for Information Security Audit in your Bank to conduct IS Audit of your Branches operational in the following districts (name of districts /area/Group of operations as mentioned in **Annexure -E**)

- 1.
- 2.
- 3.

I / We hereby submit the application in prescribed proforma of the Bank and understand that if any information is found to be false at a later date, contract made between us and Saurashtra Gramin Bank shall be treated as invalid.

I / We agree that the decision of Saurashtra Gramin Bank for CA firm for Information Security Audit will be final and binding to me / us. All the information furnished in the attached forms is correct to the best of my / our knowledge.

Bank shall have the authority to verify all the information provided by us. All supporting documents shall be provided by us in authenticity of the information furnished.

Thanking you,

Yours faithfully,

For, Chartered Accountants Firm

Proprietor / Partner

Membership No.

Place:

FRN:

Date:

NOTE:

- 1) No columns of application are to be kept blank.

Basic data profile of the CA firm for Information Security Audit

Sr. No.	Particulars	Details
1	Name of the CA Firm	
2	Constitution	
3	Address of Head Office	
4	Addresses of Branch Offices	
5	Mobile No.	
6	E-mail Address	
7	Date of Establishment	
8	Registration No. of Firm with ICAI	
9	Unique Code No. for Bank Audit	
10	Grade suggested by RBI for Statutory Branch Audit	
11	Name & Mobile No. of FCA partner of the CA Firm for contact	
12	Peer Review: If done, mention year (YYYY) and name of institution/s	
13	Whether any disciplinary action by ICAI instituted/pending against any member of the firm (if 'Yes', give details)	
14	Whether any assignment given by Saurashtra Gramin Bank in past was refused/ discontinued / terminated	
15	Manpower (Nos.)	Qualified Professionals: (i) Partners ____ (ii) Others ____ (iii) Articles: ____ (iv) Details of Other Audit Staff (including of Ex Bank Officers / Executives) _____
17	No. of Audit Staff with names having CISA / DISA qualification	

18. Particulars of Partners/Proprietor/Individual

Sr. No.	Name	Qualification	CISA/DISA Member-ship No.	Date of Certificate of practice	Whether DISA/CISA	Validity of Certificate	Whether FCA or ACA	Mobile No.

19. Details of Associate Firms, if any, of the Applicant Firm:

Name of Associate Firm	Name of Partners	Address	Mobile No.

EXPERIENCE:**20. Experience of Concurrent Audit of Public Sector Bank (In applicant firm's name):**

Name of the Bank	Name of the Branch	Period

21. If Firm or partners are having any Credit Facilities / stood as a guarantor with Saurashtra Gramin Bank, please furnish necessary details indicating nature of the dealings and the name of the Bank's branch where the account/s is/are maintained:

Name of the partner	Name of Bank's Branch	Nature of Credit Facilities / guarantee	A/c. No.

22. Whether the Firm or any partner has ever been debarred by ICAI/RBI, if yes, details:

Sr. No.	Name of the partner	Brief reasons for debarment

23. Whether any partner is relative of existing staff member of Saurashtra Gramin Bank (SGB):

Name of Staff & Designation	Name of Branch	Relation

24. Certificate/s

I / We hereby confirm that the Firm / any partner are not disqualified under any of grounds given in Sec. 141 of the Companies Act, 2013.

I / we hereby declare that neither I nor any of our partners/members of my/their families (family will include besides spouse, only children, parents, brothers, sisters or any of them who are wholly or mainly dependent on the Chartered Accountants) or the firm/Company in which I am/they are partners/directors have been declared as willful defaulter by any bank / financial institution.

I / We confirm that the information furnished here are true to the best of my knowledge.

For, Chartered Accountants Firm,

Partner/Proprietor

Membership No.

FRN

Place:

Date:

Note: All the relevant details documentary evidences are to be furnished. The above is only a format. Information may be submitted in additional sheets.

Terms & Conditions for empanelment of CA firm for Information Security Audit:

1. The Applicant should furnish proof of valid registration and Certificate of Practice from the Institute of Chartered Accountants of India (ICAI), CISA/DISA/CISSP certificate in-force.
2. CA firm with Partnership firm/ LLP for IS Audit firm should be minimum 10 years' experience of Audit and minimum five years of previous track record of carrying out concurrent audits in other Financial Institutions / Public /private Sector Banks.
3. **It is compulsory that IS Auditor firm's Head Office or Branch office should be in the area of operation of the Bank i.e. in 11 districts of Saurashtra region, otherwise application will be rejected.**
4. CA firm for Information Security Audit to give their rate for IS audit for per branch of particular group in financial bid **Annexure-E & F**. Details of group and how it will be considered is shown in **Annexure – E**.
5. The applications received would be examined by Audit Committee at Head Office, Rajkot and will check technically bid.
6. Financial Bids of those CA firms which fulfill Technical requirements will be taken into consideration and those CA firms financial bid will be open and based on that L1 price for each group (Area/Group shown in **Annexure-E**) will be decided i.e. For 13 groups L-1 price will be different as per financial bid. L-1 rate will be offered to all 13 CA firms which quoted lowest rate in individual group & we will empanel after obtaining acceptance letter to those CA firms.. i.e. we will declare those CA firm for Information Security Audit for the year 201-22 as per group selected by them. If CA firms which are in rate as L-1 rate will not accept the branches which applied by them in tender then it will be allotted to next one i.e.L-2 rate CA firm and this exercise will be done up to allotment of the all branches for IS Audit for the year 2021-22.
7. **In case of rate quoted by various CA firms will be same rate for the group applied than experience of the CA firm will be calculated and that firm will be eligible for IS audit.** Each firm can give their rate for more than one group .Bank will allot maximum three groups branches and Head Office to lowest one rate CA firm from their application in case of any CA firm comes in rate lowest one for more than two groups.
8. **In case of rate quoted by various CA firms will be same rate for the group applied than experience of the CA firm will be calculated and that firm will be eligible for IS audit.**
9. Appointment of CA firm for Information Security Audit will be for one year.
10. Other terms and conditions for IS audit assignment are stated as under. However, the Bank reserves its right to amend / modify any condition and Bank's decision in this regard will be final. Bank reserves the right of appointment of any CA firm for Information Security Audit who fits in the criteria prescribed by the bank.

Other Guidelines

- 1.** The CA firm for Information Security Audit should furnish the name and qualification of the persons, who shall conduct audit in the branch, to the Bank before commencing audit assignment and such persons will have to be continued for the entire period.
- 2.** The Designated Auditor would be required to submit his/ her identity proof and address proof.
- 3.** The CA firm for Information Security Audit will not recommend directly or indirectly for consideration of any fund based or non-fund based proposals of their friends/relatives/clients/non clients to the Bank.
- 4.** The audit team for conducting the IS audit at the branch should be led by the audit firm with experienced assistants as the work may warrant.
- 5.** Sub-contracting is strictly prohibited and will be liable for immediate termination of assignment.
- 6.** Bank reserves the right to modify / alter any terms of selection process at any point of time. Selection process will be at Banks absolute and sole discretion. No representation / claim will be entertained whatsoever in this regard.
- 7.** If any serious acts of omission or commission or misdeeds are noticed in working of IS Auditor – their appointment may be immediately cancelled and without any notice/communication and the fact may be reported to RBI & ICAI / NABARD.
- 8.** IS audit of each allotted branch to be conducted as per the pre-defined schedule.
- 9.** Any unusual activity or operation detected during IS audit they should immediately be reported to Technology Dept., Audit Dept. as well as to the General Manager (Vigilance), at Head Office, Rajkot.
- 10.** The IS auditors should not undertake any other activities / assignment on behalf of the branch without obtaining the concurrence of the Audit & Inspection department at Head Office, in writing.
- 11.** The IS auditor shall not be allowed to carry any mass storage device such as pen drive/ flash drive/ thumb drive inside the branch premises as these devices will not be required for the job. However laptop is allowed to be carried with auditor as standalone. IS auditors shall be provided with computer system with disabled USB ports by the concerned branches.
- 12.** If the performance is found unsatisfactory at any point of time, then the services of the auditors shall be terminated forthwith.

Declaration**(To be furnished in the letter head of the firm)**

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

I/ We _____
Chartered Accountants hereby declare that I/We comply with the eligibility conditions specified established under the Chartered Accountants Act, 1949, and I/ We declare that:

None of the Partners of the firm have any disciplinary proceedings under the Chartered Accountants Act, 1949 pending against him/ her or any disciplinary action under the Chartered Accountants Act, 1949 / penal action under any other law taken / pending against him/ her.

Our firm will continue to satisfy the eligibility norm for appointment of Chartered Accountants as IS Auditors as prescribed by the Bank from time to time.

I/ We understand that any breach of the provisions regarding eligibility shall be considered as gross negligence and may result in appropriate action under the Chartered Accountants Act, 1949.

The firm/ LLP shall agree to execute undertaking of fidelity and secrecy on its letterhead in the format prescribed by the Bank, if the contract assigned.

A declaration to be furnished by the firm that credit facilities availed by the firm or partners or firms in which they are partners or directors including any facility availed by a third party for which the firm or its partners are guarantor/s , have not turned or are existing as non-performing assets as per the prudential norms of RBI. In case the declaration is found incorrect, the assignment would get terminated besides the firm being liable for any action under ICAI / RBI guidelines.

The firm / LLP must submit an undertaking that the firm / LLP does not have any professional relationship with any of the borrowers of SGB nor will it in future accept professional relationship with any of the borrowers of SGB during the period during which the firm / LLP acts as the concurrent auditor for SGB.

For, Chartered Accountants Firm,

Partner

Membership No.

Place:

Date

Groups/Centre details of Branches for Concurrent Audit

Sr. No.	Group/Centre	Br.no	Branch	Branch Wise Rate
1	Jamnagar	100	Jamnagar Region Office	
		103	JAMNAGAR	
		106	FALLA	
		155	HARIYA SCHOOL (JAMNAGAR)	
		157	BEDIBANDAR	
		104	MOTI BANUGAR	
		129	PADANA	
		138	BHANGOR	
2	Jam Khambhaliya	137	JAM KHABHALIA	
		119	GADHAKA	
		135	VADATARA	
		120	DEVALIA	
		122	KHIRASARA	
		121	RAN	
		148	BHANVAD	
		140	MOTA GUNDA	
3	Rajkot	500	Rajkot Region Office	
		180	RAJKOT	
		187	RAJKOT - SSI	
		196	UNIVERSITY RD-RAJKOT	
		182	DHEBAR ROAD	
4	Porbandar- Jamjodhpur	143	SHETH VADALA	
		141	PACHHATAR	
		305	CHANDWANA	
		380	PORBANDAR	
		378	KHAMBHODAR	
		379	SISALI	
		384	KHAPAT	
5	Kalavad	109	DHUTARPAR	
		149	KALAVAD	
		124	MOTA PANCHDEVDA	
		126	NAVAGAM (KALAVAD)	
		128	BERAJA	
		127	MAKRANI SANOSRA	
6	Chotila -Jetpur-Dhrol	204	CHOTILA	
		223	SANOSARA	
		217	MOTI MOLDI	
		125	MOTA VADALA	
		111	DHROL	

		113	JAIVA	
		112	MOTA ITALA	
		183	GONDAL	
		189	JETPUR	
8	Branches in Surendranagar district	212	LIMBDI	
		220	PATDI	
		206	DHRANGDHRA	
		202	ADARIYANA	
		228	SAYLA	
		208	JAMBU	
		222	RAMPARA	
7	Morbi	114	MEGHPAR	
		186	MORBI	
		405	LALPAR (MORBI)	
		207	HALVAD	
		213	MAYURNAGAR	
9	Bhavnagar	400	Region Office -Bhavnagar	
		252	BHAVNAGAR	
		272	DAWN CHOWK	
		263	TALAJA	
		264	TARSAMIYA	
		267	PALITANA	
		254	DEVLI	
		259	PADVA	
10	Amreli	352	AMRELI	
		268	BOTAD	
		362	DHARI	
		269	GADHADA SWAMINA	
		363	AMRAPARA	
		261	SARVA	
		256	MAHUVA	
		368	RAJULA	
11	Surendranagar	200	Region Office- Surendranagar	
		225	SURENDRANAGAR	
		229	SSI S'NAGAR	
		227	WADHWAN	
		236	ALKA CHOWK	
		233	JORAVARNAGAR	
		224	SHEKHPAR	
12	Junagadh	300	Region Office - Junagadh	
		307	JUNAGADH	
		336	ZANZARDA	
		311	MENDARDA	

		337	JOSHIPURA	
		327	KESHOD	
		185	DHORAJI	
		308	KEVADRA	
13	Veraval	320	VIRDI	
		304	BHANDURI	
		317	TALALA	
		302	AJOTHA	
		323	KODINAR	
		306	DHAVA	
		321	VERAVAL	
		315	SAVANI	
14	Head Office Rajkot	i) IS audit of Head Office ii) Consolidated IS Audit Report of Branches.		

Note: Rates quoted in financial bid (**Annexure E & F**) will be rate for one branch of that group. CA firms have to give rate per branch, per group. The L1 will be considered based on group total. Be noted that L1 will be declared group wise.

Example: If in a group of three branches, “X” CA firm gives rate ₹ 3,000/- for branch 1, ₹ 2,000/- for branch 2 and ₹ 1,500/- for Branch 3 then group total is ₹ 6,500/-. If “Y” CA firms group total becomes ₹ 7,000/- then “X” CA firm is L1 in that Group.

The rate will be inclusive of all taxes, lodgings, boarding and transportation but excluding GST, no any extra charges will be paid.

Bank will allocate maximum three groups and Head Office to L1 CA firm from their application, in case if any CA firm comes L1 for more than three groups. In this scenario, L2 of that group will be eligible.

CA firms to give selection of group in their application **Annexure -A** also.

In case of rate quoted by various CA firms will be same rate for the group applied than experience of the CA firm will be calculated and that firm will be considered L1.

ANNEXURE-F**TENDER FORM PART- II (FINANCIAL BID DOCUMENT) (Rate for Proposal)**

<u>Sr. No.</u>	<u>Branches in Group</u> <u>For detail of branches in group refer annexure - E</u>	<u>Rate per Group</u>
1	Jamnagar	
2	Jamkhambhaliya	
3	Rajkot Local	
4	Porbandar – Jamjodhpur	
5	Kalavad	
6	Chotila – Jetpur – Dhrol	
7	Branches of Surendranagar District	
8	Morbi	
9	Bhavnagar	
10	Amreli	
11	Surendranagar	
12	Junagadh	
13	Veraval	
14	Head Office Rajkot	

Financial Bids of those CA firms which fulfil Technical requirements will be taken into consideration and those CA firms financial bid will be open and based on that L1 price for each group (Area/Group shown in annexure-III) will be decided i.e. For 13 groups L-1 price will be different as per financial bid. L-1 rate will be offered to all 13 CA firms which quoted lowest rate in individual group & we will empanel after obtaining acceptance letter to those CA firms. i.e. we will declare those CA firm for Information Security Audit for the year 201-22 as per group selected by them. If CA firms which are in rate as L-1 rate will not accept the branches which applied by them in tender then it will be allotted to next one i.e.L-2 rate CA firm and this exercise will be done up to allotment of the all branches for IS Audit for the year 2021-22.

In case of rate quoted by various CA firms will be same rate for the group applied than experience of the CA firm will be calculated and that firm will be eligible for IS audit.

Date:**Place:****Signature of authorized signatory of CA Firm**