

**RFP Reference no:- NHB/ ITD/ RFP- Empanelment of
Information Security Audit firms / 9004/ 2015**

**Request for Proposal For Empanelment of
Information Security Audit firms for Bank's
Information Security Audit exercise**

**Information Technology Department
Head Office, National Housing Bank
Core 5-A, 3rd Floor, India Habitat Centre, Lodhi
Road, New Delhi - 110 003
Phone: 011-24611070
E-Mail: souravs@nhb.org.in**

BID SUMMARY

1.	Date of commencement of collecting Bidding Documents	14/09/2015
2.	Last date and time for collecting Bidding Documents	05/10/2015 17.00 hrs
3.	Last date and time for receipt of Bidding Documents	05/10/2015 17.00 hrs
4.	Date and Time of Technical Bid Opening	06/10/2015 12.00 hrs
5.	Pre Bid Meeting	23/09/2015 12.00 hrs
6.	Cost of RFP	Rs. 5,000/- (non-refundable)
7.	Earnest Money Deposit Amount	Rs. 50,000/- (Rs. Fifty Thousand Only)
8.	Place of opening of Bids	National Housing Bank, Information Technology Department Head Office Core 5-A, 3 rd Floor, India Habitat Centre, Lodhi Road, New Delhi - 110003

Note:- Technical bids will be opened in the presence of bidders who choose to attend.

1. ABOUT NATIONAL HOUSING BANK

National Housing Bank (NHB), a statutory organisation is a wholly owned subsidiary of the Reserve Bank of India. NHB is an Apex Financial Institution formed under the Act of the Parliament with a mandate for Promotion, Development and Regulation of the Housing Finance Sector.

Apart from regulating the housing finance companies (HFC), NHB also extends financial support by way equity participation in HFCs and refinance facility to financial institutions such as Banks, HFCs, Co-operative Sector Institutions, Housing Agencies, etc. benefiting the masses both in urban and rural areas.

The head office of NHB is located in New Delhi and it has a regional office located at Mumbai and representative offices at Ahmedabad, Bengaluru, Bhopal, Chennai, Hyderabad and Kolkata.

2.PURPOSE

- National Housing Bank (hereinafter referred to as the Bank) with Head Office at New Delhi is interested to conduct Information Security Audit for entire IT infrastructure and Systems of the Bank through reputed IS Audit firm. Related activities are defined in the scope of work. The scope of the system can be enhanced as per requirements of Bank.
- The purpose of RFP is to solicit proposals from qualified bidders for IS Audit assignment. Technical bids are invited from bidders for the aforesaid job as per the terms and conditions mentioned hereunder.
- Subject to any law to the contrary, and to the maximum extent permitted by law, NHB and its officers, employees, contractors, agents, and advisers disclaim all liability from any loss or damage (whether foreseeable or not) suffered by any person acting on or refraining from acting because of any information including forecasts, statements, estimates, or projections contained in this RFP document or conduct ancillary to it whether or not the loss or damage arises in connection with any negligence, omission, default, lack of care or

Mis-representation on the part of NHB or any of its officers, employees, contractors, agents, or advisers.

3.INSTRUCTION TO BIDDERS

The Bidder is expected to examine all instructions, forms, terms and specifications in the bidding documents. Failure to furnish all information required by the bidding documents may result in the rejection of its bid and will be at the bidder's own risk.

- No binding legal relationship will exist between any of the Respondents and Bank until execution of a contractual agreement.
- Each Recipient acknowledges and accepts that Bank may in its absolute discretion apply selection criteria specified in the document for evaluation of proposals for short listing / selecting the eligible vendor(s). The RFP document will not form part of any contract or arrangement, which may result from the issue of this document or any investigation or review, carried out by a Recipient.
- A Recipient will, by responding to Bank for RFP, be deemed to have accepted the terms of this Introduction and Disclaimer.
- Recipients are required to direct all communications related to this RFP, through the Nominated Point of Contact person:

Contact : A. P. Saxena
Position : General Manager (ITD)
Email : apsaxena@nhb.org.in
Telephone : +91 - 11 - 24655366
Fax : +91 - 11 - 24649432

Contact : Sourav Seal
Position : Deputy General Manager (ITD)
Email : souravs@nhb.org.in
Telephone : +91 - 11 - 24611070
Fax : +91 - 11 - 24649432

- Bank may, in its absolute discretion, seek additional information or material from any Respondents after the RFP closes and all such information and

material provided must be taken to form part of that Respondent's response.

- Respondents should provide details of their contact person, telephone, fax, email and full address(s) to ensure that replies to RFP could be conveyed promptly.
- If Bank, in its absolute discretion, deems that the originator of the question will gain an advantage by a response to a question, then Bank reserves the right to communicate such response to all Respondents.
- Queries / Clarification if any, may be taken up with the contact persons detailed above before the deadline for submission of bids between 10.00 am to 5.00 pm on any working days (Monday to Friday except holidays).
- 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.
- Bank will notify all short-listed Respondents in writing or by mail or by publishing in its website as soon as practicable about the outcome of their RFP. Bank is not obliged to provide any reasons for any such acceptance or rejection.
- The bids qualify the Minimum Eligibility Criteria will be eligible for further evaluation and subsequently the bids qualify both Minimum Eligibility Criteria and Technical Evaluation will be eligible for empanelment.

3.1 Pre-bid Meeting

For the purpose of clarification of doubts of the bidders on issues related to this RFP, NHB intends to hold a Pre-Bid meeting on the date and time as indicated in the RFP. The queries of all the bidders, in writing, should reach by e-mail or by post on or before xx/xx/2015 on the address as mentioned above. It may be noted that no queries of any bidder shall be entertained received after the Pre-Bid meeting. Clarifications on queries will be given in the Pre-Bid meeting. Only the authorized representatives of the bidders, who have purchased the RFP, will be allowed to attend the Pre-Bid meeting.

3.2 Soft Copy of Tender Document

The soft copy of the tender document will be made available on Bank's website <http://www.nhb.org.in>.

3.3 BID EARNEST MONEY & COST OF RFP

The bidder has to submit an RFP cost of Rs. 5,000 (Rs. Five Thousand) (non-refundable) & the bid earnest money deposit of Rs. 50,000 (Rs. Fifty Thousand only) (refundable after empanelment period (5 years) for empanelled bidder and after finalizing the selection process for unqualified bidders) by way of an e-payment in favour of **National Housing Bank**. The Accounts details are given below:

1. *Beneficiary Name:* National Housing Bank
2. *Beneficiary Address:* Core 5A, 4th Floor, India Habitat Centre, Lodhi Road, New Delhi 110 003
3. *Beneficiary Bank Name:* State Bank of Hyderabad
4. *Beneficiary Bank Branch Address:* Pragativihar Delhi Branch, Ground Floor, Core-6, Scope Complex, Lodhi Road, New Delhi - 110 003
5. *Type of Bank Account:* Current account
6. *Beneficiary Bank A/C No:* 52142903844
7. *IFCS code of Bank branch:* SBHY0020511
8. *MICR No.:* 1100004005

The proof of the payment should be enclosed and put in the envelope containing the Technical Bid; in the absence of which the bid may not be considered for further evaluation. The bidders are also required to submit ECS Mandate Form as enclosed in Annexure-D.

- The EMD security may be forfeited:
 - If a Bidder withdraws its bids during the period of bid validity
 - If a Bidder makes any statement or encloses any form which turns out to be false/incorrect at any time prior to signing of the contract
 - In case of successful Bidder, if the Bidder fails to Sign the contract.

3.4 Language of Bid

The bid prepared by the Bidders, as well as all correspondence and documents relating to the Bid exchanged by the Bidder and the Bank and supporting documents and printed literature shall be written in English.

3.5 Cost of Bidding

The bidder shall bear all the costs associated with the preparation and submission of bid and Bank will in no case be responsible or liable for these costs regardless of the conduct or outcome of the bidding process.

3.6 **Bidding Document**

The bidder is expected to examine all instructions, forms, terms and conditions and technical specifications in the Bidding Document. Submission of a bid not responsive to the Bidding Document in every respect will be at the bidder's risk and may result in the rejection of its bid without any further reference to the bidder.

3.7 **Amendment to Bidding Documents**

At any time prior to the last Date and Time for submission of bids, the Bank may, for any reason, modify the Bidding Document by amendments at the sole discretion of the Bank. All amendments shall be uploaded on Bank's website.

In order to provide, prospective bidders, reasonable time to take the amendment if any, into account in preparing their bid, the Bank may, at its discretion, extend the deadline for submission of bids.

3.8 **Period of Validity**

Bids shall remain valid for **six months** from the date of bid opening prescribed by the Bank. A bid valid for shorter period shall be rejected by the Bank as non-responsive.

3.9 **Bid Currency**

Prices shall be expressed in Indian Rupees only.

3.10 **Submission of Bids**

The bidders shall duly seal each envelope and place both the envelopes in a third envelope, which shall also be only sealed properly.

The bid should be addressed to Bank at the following address up to the time and date mentioned on page 2 of this document.

General Manager
Information Technology Department
National Housing Bank,
Head Office
Core 5-A, 3rd Floor, India Habitat Centre, Lodhi Road, New
Delhi - 110003

3.11 **Last Date and Time for Submission of Bids**

Bids must be received by the Bank at the address specified in the Bid Document not later than the specified date and time as specified in the Bid Document or as extended by the Bank. In the event of the specified date of submission of bids being declared a holiday for the Bank, the bids will be received up to the appointed time on next working day.

3.12 **Late Bids**

Any bid received by the Bank after the deadline for submission of bids will be rejected and/or returned unopened to the Bidder, if so desired by him.

3.13 **Modifications and/or Withdrawal of Bids**

- Bids once submitted will be treated, as final and no further correspondence will be entertained on this.
- No bid will be modified after the deadline for submission of bids.
- No bidder shall be allowed to withdraw the bid, if the bidder happens to be a successful bidder.

3.14 **Content of Documents to be Submitted**

3.14.1 **Documents required in Technical Bid Envelope (Sealed Cover):**

- i. Bidder's information as per part "I" of Annexure-'A'.
- ii. Service Information as per part "II" of Annexure -'A'.
- iii. Undertaking Letter as per part "III" of Annexure -'A'.
- iv. Compliance Statement Declaration - Annexure-'B'

- v. Pre-Qualification Criteria-Annexure-“C”
- vi. ECS Mandate Form - Annexure - ‘D’

4. SCOPE OF WORK

Most of the functions of NHB have been computerized and have been brought under the single ERP platform (SAP). There has been great reliance on IT systems on day to day operations of the Bank. This has increased the criticality of the IT infrastructure of the Bank.

NHB proposes to undertake Information Security Audit (ISA) of its IT Infrastructure & Systems with a view to check the residence of the extant infrastructure, enhance the security measures and to adopt best international practices & standards in due course. The Information Security Audit (ISA) should be conducted in accordance with ISO 27001 and RBI Guidelines.

4.1 Brief overview of Bank’s IT Infrastructure

NHB has centralized setup with DataCenter [DC] at New Delhi and Disaster Recovery [DR] Site at Mumbai. All applications are hosted at DataCentre, New Delhi and are accessed by all offices/locations over MPLS WAN/Internet. NHB at present has MPLS connectivity between Delhi, Mumbai & Other offices as under:

A. Wide Area Network (MPLS)

Presently NHB has MPLS connectivity between New Delhi, Mumbai & Regional Representative offices (RROs) as under. MPLS services are in managed mode.

S.no	Location	Bandwidth
1	New Delhi	16Mbps
2	Mumbai	4Mbps
3	RROs	1 Mbps

Presently Bank has 6 no of RROs at Ahmedabad, Bengaluru, Bhopal, Chennai, Hyderabad & Kolkata.

B. Local Area Network

At New Delhi and Mumbai offices the LAN is based on Layer 2 switches. The switches used at the locations are unmanaged. All switches are property of NHB and are under Warranty/AMC with respective vendors.

- At Delhi and Mumbai Bank has deployed Cisco series switches
- At Delhi and Mumbai Bank has installed Cisco ASA Firewalls.
- Other offices are connected to Head office over MPLS. The offices access Bank's hosted IT services over MPLS. MPLS network as well as the premises MPLS equipment is managed by present MPLS connectivity provider.

C. Applications / Internet / Intranet etc.

- Bank has setup Domain Controller (DC) & ADC for managing its environment.
- Bank has implemented SAP ERP system for most of its business operations.
- Mailing solution (MS Exchange) is available in high availability mode (DAG) with two primary servers at DC Site and one secondary server at DR site. Users at Delhi office access the corporate mail through LAN on MS Outlook. Other offices access the corporate mail over MPLS. Email service is also accessible for all NHB officials through Outlook Web Access (OWA) over Internet.
- Internet dedicated bandwidth from two different service providers are available at Delhi and Internet broadband is available at Mumbai. The bandwidths are used for Internet browsing and other web based services.
- NHB at its Delhi Office has implemented proxy server with web caching, web content filtering integrated with Active Directory at DC for user authentication and controlling user Internet access. In addition to this Bank has implemented Cisco ASA Firewall and Antivirus solution for security.
- NHB has SSL VPN Gateway to enable its employees to connect to IT services hosted in its Data Centre.
- APC Central log management solution is implemented at DC, New Delhi, to capture & deliver system logs for critical devices/servers, in lucid manner to administrators.
- Bank uses services like NewsWire 18, Reuters at its treasury department to keep a tab on development happening in financial and treasury market.

D. Infrastructure at Head Office, New Delhi

Servers	Nos.
1. Servers <ul style="list-style-type: none">- on Windows 2000, Windows 2003, Windows 2008/2012 platform- including SQL Server/Exchange Server/SAP Servers and others	41

PCs	Platform	Nos.
1. Client Machines on LAN	Windows Vista/7/Windows 8	188
2. Laptops/Mobile Computers	Windows 7/8	107

Regional Office at Mumbai

Servers	Nos.
1. Servers <ul style="list-style-type: none">- on Windows 2003/2008/2012 platform- including SQL Server	10 1

PCs	Platform	Nos.
1. Client Machines on LAN	Windows XP/8	30
2. Stand-alone PCs	Windows 2003	1
3. Laptops/Mobile Computers	Windows 7/8	6

* *Please note as the IT infrastructure of NHB is undergoing expansion the aforesaid list may undergo some changes.*

4.2 Project Scope

The IS Audit will cover the IT infrastructure and systems of the Bank's head office at Delhi, Regional office at Mumbai. Further, the Bank has its Representative offices located at Hyderabad, Chennai, Bangalore, Kolkata, Ahmedabad, and Bhopal which are connected to the centralized datacenter located at Head Office over MPLA WAN. The IS will cover the access control mechanism implemented for these representative offices.

The IS audit is to be conducted in following three phases:

PHASE - I EVALUATION

PHASE - II COMMUNICATION
PHASE - III REVIEW & CERTIFICATION

The activities covered under each phase are appended below:

PHASE -I: EVALUATION

1. Risk assessment and identification of security needs.

a. Evaluate security needs of the current IT infrastructure of NHB:

- Network and the devices in use.
- Operating systems - Setup, Configurations, Tuning, etc.
- Database, Systems and Application - Setup, configuration, Tuning, etc.

b. Evaluate the extant design of Security Architecture.

- Evaluate the extant security architecture, recommend changes/ new designs/layouts, and document the security architecture so as to conform to the RBI Guidelines, International Standards and Industry- wide accepted best practices.

c. Evaluate the System implementation in the Bank

- Evaluate the current Operational Procedure and Security Policy for processes that have been computerized. Recommending and framing Operational Procedure and Security Policy for these processes. Special emphasis is laid on evaluating the security aspects of system such as SAP, Central Forms Repository, other software etc. Implemented in the Bank.
- Evaluate implementation and maintenance of access controls based on the instructions from the information resource owner and in accordance with applicable policies, directives & standards.
- IS Auditor must interact with all Head of the Departments (HODs) in the Bank to obtain their views/feedback towards Information Security measures taken by the Bank and evaluate the gap (if any) based on their feedback.

2. Detailing the Security Gaps

- Reviewing of the IT infrastructure of the Bank and document the security gaps, security flaws, loopholes by undertaking comprehensive Vulnerability Assessment and thorough Penetration Testing.
- Document recommendations for addressing these security gaps and categorize the identified security gaps based on their criticality, resource/effort requirement to address them.
- Chart a roadmap for the Bank to ensure compliance and address these security gaps.
- A preliminary report documenting the major findings of the ISA is to be furnished at the end of this phase.

3. Addressing the Security Gaps

- Fixing/addressing the Security flaws, shortfalls in penetration testing, gaps, loopholes, shortfalls vulnerabilities in deployment of applications/systems which can be fixed immediately.
- Recommend fixes for system vulnerabilities and penetration testing in design or otherwise for application systems and network infrastructure.
- Applying software patches available through OEM to overcome security loopholes/flaws.
- Suggest changes/modifications in the Security Policies and Security Architecture including Network and Applications of NHB to address the same.

PHASE - II: COMMUNICATION

1. User Training

Creating awareness among NHB employees on issues relating to IT security and impart training in security aspects at various operational levels: -

- Administrative level
- User level
- Information Security Audit Training

2. Reports of ISA Findings

The reports of the ISA findings will include the risk areas which are to

be categorized in High Risk, Medium Risk and Low Risks categories. The possible solutions for addressing the risk areas are to be clearly indicated in the report to facilitate Gap Closer activities.

PHASE - III: REVIEW & CERTIFICATION

1. Review

An exercise to review the compliance with the findings and recommendations of ISA had to be undertaken by the vendor. This exercise would be undertaken after 1-2 months of completion of the ISA. This exercise would encompass evaluation of the general/overall level of compliance undertaken by the Bank.

2. Certification for compliance with the findings of the ISA

On completion of the compliance review, the vendor had to provide an ISA compliance certificate to that effect.

4.3 Deliverables

There are six major deliverables in the project:

1. Information Security Audit
2. Vulnerability Assessment and Penetration Test: Assessment, Analysis and Resolution
3. ISA Reports
4. Training Material for NHB officials
5. Training Programs
6. To provide Certificate for the ISA

These are described in the following sub-sections:

1) Information Security Audit

- *(Type - Services)*

Under this project the vendor will provide services for:

- Risk assessment and identification of security needs.
- Evaluate of the current IT infrastructure of NHB, Network and the devices in use, Operating Systems, Database and Application

packages, Operational Procedures.

- Identification of vulnerability, security flaws, gaps and loopholes and conduct penetration testing.
- Evaluate the extant design of Security Architecture, recommend changes/ new designs/layouts, and document the security architecture so as to conform to the RBI Guidelines, International Standards and Industry-wide accepted best practices.
- The Security Architecture Design includes the Head Office and the Regional Office combined i.e. including the interconnection between the two offices and the interfaces used by various applications on the NHB network.
- To undertake configuration of Security Architecture including Network and Applications of NHB to address the same.
- Evaluate the current Operational Procedure and Security Policy for processes that have been computerized. Recommending and framing Operational Procedure and Security policy for these processes.
- Evaluate of the SAP implementation in the Bank. The business processes implemented on SAP needs to be assessed for their security aspects and recommendation for suitably amendments may be given if required.

2) Vulnerability and Penetration Testing: Assessment, Analysis and Resolution

▪ *(Type - Documentation & Service)*

- Under this project the vendor will provide services for Assess and address the vulnerabilities and shortfalls in penetration testing.
- Documenting the vulnerabilities, shortfalls in penetration testing, security flaws, gaps and loopholes
- Fixing the vulnerabilities in deployment of applications/systems, and recommend fixes for system vulnerabilities in design or otherwise for application systems and network infrastructure.
- Fixing/addressing shortfalls which can be addressed immediately. Applying software patches available through OEM to overcome security loopholes/flaws.

3) ISA Report

▪ *(Type - Documentation)*

As indicated earlier the ISA Report would comprise of three sub reports:

- **ISA Report: Detailed Finding:** The detailed findings of the ISA would be brought out in this report which will cover in details all aspects

viz. identification of flaws/vulnerability, shortfalls in penetration testing, suggestion for solutions/ corrective measures, future preventive measures, action taken, etc.

- **ISA Report: Knowledge Transfer:** Further, the vendor will also furnish a report capturing the experience gathered during the ISA. It will also cover in details the knowledge transfer activity undertaken by the vendor, the response received from the employees of the Bank and the vendor's assessment of the IT security awareness and readiness of the Bank's employees.

4) Training material for NHB officials

- *(Type - Documentation)*

The vendor will develop courseware and provide training material for the NHB officials NHB Administrators and other users.

5) Training Programs

- *(Type - Service)*

The vendor will develop faculty support to impart training to the NHB officials sensitizing them to the various aspects of IT Security.

6) Provide Certification for the ISA

- *(Type - Documentation & Service)*

The vendor is to provide NHB a certification for ISA.

Documentation Format:

- *All documents will be handed over in three copies, legible, neatly and robustly bound on A-4 size, good-quality paper.*
- *Soft copies of the document in MS Word format will also be submitted in CDs along with the hard copies (three hard copies of each documents/certificates).*
- *All documents will be in plain English or Hindi*

Further, the scope of IS Audit also includes evaluation of policy documents related to ITD and give recommendation for improvement (if any) as also provide feedback after evaluating Bank's IT infrastructure towards preparedness of ISO 27001 certification for Bank's Datacentre and DR Site.

The Bank has following four policies related to ITD:

1. Information Technology Policy & Guidelines

2. Information Security Policy
3. IT Procurement Policy
4. Hardware Disposal Policy

5. AUDIT SCHEDULE

The selected vendor has to depute their officials at NHB Delhi for conducting IS Audit within 10 days of placement of service contract. The timeframe for completion for Phase I of the project would be 4-6 weeks and that for Phase II would be 2-3 weeks. An exercise to review the compliance with the findings and recommendations of ISA had to be undertaken by the vendor (Phase-III). This exercise would be undertaken after 1-2 months of completion of the ISA and certificate is to be issued within a week of Audit Review.

6. PENALTY CLAUSE

Penalty will be charged as 2% of the total contract rate per week delay in submission of audit report & audit compliance certificate in phase-I and phase - III respectively (For phase-I Delay will be counted after 8 weeks of the placement of order & for phase-3 after 18 months of placement of order) with a maximum of 10% of the contract cost. If the delay exceeds 5 weeks, contract / Order may be cancelled and bank may claim entire advance amount with interest from the vendor with additional 10% of the contract cost as penalty.

7. BIDDING PROCESS (TECHNICAL BID ONLY)

For the purpose of the present job, the bidder will have to submit the Technical bid only in one red lakh-sealed envelopes (wax seal), duly superscribing "INFORMATION SECURITY AUDIT", "TECHNICAL BID" TECHNICAL BID shall not contain any pricing or commercial information.

The bid shall be typed or written in indelible ink and shall be signed by the Bidder or a person duly authorized by him. The authorization shall be indicated by a written power of attorney accompanying the Bid. All pages of the Bid shall be initialed by the person(s) signing the Bid.

The Bid shall contain no interlineations, erasures or overwriting except as necessary to correct errors made by the Bidder, in which case corrections shall be initialed by the person(s) signing the Bid.

8. BID OPENING AND EVALUATION

The Bank will open the bid, in the presence of Bidders representative who choose to attend, at the time and date mentioned in Bid document at the address mentioned above.

The bidders or their representatives who are present shall sign register evidencing their attendance. In the event of the specified date of bid opening being declared a holiday for Bank, the bids shall be opened at the appointed time and place on next working day.

Bidders satisfying the technical requirements as determined by the Bank and accepting the terms and conditions of this document shall be short-listed for empanelment. Bank reserve the right to accept or reject any technology proposed by the bidder without assigning any reason thereof. Decision of the Bank in this regard shall be final and binding on the bidders.

8.1 Evaluation Criteria for the Bidding Process

The bids received from the firms would be evaluated on the basis of their technical competencies. The technical competencies would be evaluated first and only the firms having the requisite qualifying technical score would be eligible for being empaneled.

a) Technical Bids

Criteria and Point system for the evaluation of the Technical bids are as under:

Maximum Marks: 100		
	Criteria Points	(Max Marks)

1. Number of years of experience of the Firm in IS Audit area (Will be considered only on submission of satisfactory certificate from at least two clients)		20
a. 3+ to 5 Years	07	
b. 5+ to 7 Years	15	
c. More Than 7 years	20	
2. Competency of the firm to undertake ISA under highly scalable ERP environment /Core Solutions (Decision of the Bank is final towards considering highly scalable ERP package) (Bidder has to submit satisfactory certificates from the clients in respective area)		20
a. 3 to 4 ERP package /Core Solutions	10	
b. More than 4 ERP package /Core Solutions	20	
3. List of Clients (IS Audit exercise conducted by the bidder in Centralised Datacentre will only be considered) (Only currently valid contracts (upto last 5 years) considered for points award)		20
o For 5 or more in Govt. Sector / PSU/Banks/FIs in India	20	
o For 3-5 or More Govt. Sector / PSU/Banks/ FIs in India	15	
o For 3 Govt. Sector / PSU/Banks/FIs in India	10	
o Private clients in India	00	
4. Details of qualified professionals on the role of the firm handling IS Audit. [Following professional qualifications will be considered: [DISA/CISA/CISM/CDAC/CEH/ISO 27001]		20
• More than 30 professionals	20	
• 20+ to 30 professionals	18	
• 10 to 20 professionals	15	
5. ISO Certification For Maintenance for IS Audit/Software Audit area		10
a) If Yes	10	
b) If No	00	
6. Average turnover for Last 3 years (with respect to IS Audit only)		10

• Rs. 10 Crore to 15 crore	04	
• Rs.15+ Crore to 30	06	
• Rs. 30+ Crore to 50 crore	08	
• Rs. 50+ Crore and above	10	

Bidders have to provide copies of supporting documents against each criteria mentioned above, without which bid may be rejected.

The minimum qualification score for the Technical Bid for empanelment would be 70 i.e. bids having score less than 70 will be rejected and will not be considered for this empanelment.

9. CLARIFICATIONS OF BIDS

To assist in the examination, evaluation and comparison of bids the Bank may, at its discretion, ask the bidder for clarification and response shall be in writing and no change in the price or substance of the bid shall be sought, offered or permitted.

10. PRELIMINARY EXAMINATION

The Bank will examine the bids to determine whether they are complete, whether any computational errors have been made, whether required information has been provided as underlined in the bid document, whether the documents have been properly signed, and whether bids are generally in order.

The bid determined as not in order as per the specifications will be rejected by the Bank.

11. CONTACTING THE BANK

Any effort by bidder to influence the Bank in the Bank's bid evaluation, bid comparison or contract award decision may result in the rejection of the Bidders' bid. Bank's decision will be final and without prejudice and will be binding on all parties.

12. BANK'S RIGHT TO ACCEPT OR REJECT ANY BID OR ALL BIDS

The Bank reserves the right to accept or reject any bid and annul the bidding process and reject all bids at any time prior to award of contract, without thereby incurring any liability to the affected bidder or bidders or any obligation to inform the affected bidder or bidders of the ground for the Bank's action.

Further, empanelment of vendors does not assure that service contract will be issued to the vendor/vendors for assistance support. Separate Commercial quotation will be

asked from empaneled vendors as and when services will be required.

14. SIGNING OF CONTRACT.

The successful bidder(s) to be called as vendor, shall be required to enter into a Service level Agreement (SLA) with the Bank, within 15 days of the award of the service order (when provided) or within such extended period as may be specified by the Bank.

15. PURCHASE PREFERENCE

Purchase preference to Central Public Sector Units as per directives of Department of Public Enterprises will be available.

16. VALIDITY OF EMPANELMENT.

Five Years from the date of empanelment or as decided by the Bank.

17. NON DISCLOSURE AGREEMENT

A non-disclosure agreement would be signed between the bank and the organization whosoever is carrying out the IS Audit in our Bank.

18. INTELLECTUAL PROPERTY RIGHTS

Intellectual Property and Ownership: All software, systems, ideas, concept, designs, documentation or any other material produced by the Auditors during the period of his/her assignment to the Bank will be Intellectual Property of BANK. Neither Company nor their Auditors will have any rights to such material described as above.

-----XXX-----

Annexure 'A'

PART - I: Bidder Information

Please provide following information about the Company (Attach separate sheet if required): -

S. No.	Information	Particulars / Response		
1.	Company Name			
2.	Date of Incorporation			
3.	Company Head Office / Registered Office and Addresses Contact Person(s) Phone Fax E-mail Website			
4.	Provide the range of services /options offered by you covering service description and different schemes available for: <ul style="list-style-type: none">○ IS Audit○ Audit of ERP Package○ IS Audit in any Bank/FIs in India	Yes / No / Comments (if option is 'No')		
5.	Any pending or past litigation (within three years)? If yes please give details Also mention the details of claims and complaints received in the last three years (About the Company / Services provided by the company).	Yes/No/Comments (if option is 'Yes')		
6.	Please mention turnover for last three years and include the copies of Balance Sheet in support of it.	Year	Turnover	Profit/Loss(-)
		2012-13		
		2013-14		
		2014-15		

Signature of Bidder

PART - II: Service Information

S. No	Service	Name of organization where the service is provided	Duration of service (in weeks)
1	IS Audit		
2	ERP Package Audit (Indicate Name of the package)		
3	IS Audit of banking package other than ERP		

We confirm that, all the details mentioned above are true and correct and if the Bank observes any misrepresentation of facts on any matter at any stage of evaluation, the Bank has the right to reject the proposal and disqualify us from the process.

We hereby acknowledge and unconditionally accept that the Bank can at its absolute discretion apply whatever criteria it deems appropriate, not just limiting to those criteria set out in the RFP document, in short listing of vendors for providing IS Audit Services.

We also acknowledge the information that this bid is valid for a period of six months, for the short-listing purpose, from the date of expiry of the last date for submission of bid.

SIGNATURE OF VENDOR WITH SEAL

NAME OF THE AUTHORISED SIGNATORY

PART - III:

Letter to be submitted by bidder along with bid documents

To
The General Manager
Information Technology Department
National Housing Bank,
Head Office
Core 5-A, 3rd Floor, India Habitat Centre, Lodhi Road,
New Delhi - 110003

Sir

Reg: Our bid for IS Audit for Bank

We submit our Bid Document herewith.

If our Bid for the above job is accepted, we undertake to enter into and execute at our cost, when called upon by the Bank to do so, a contract in the prescribed form. Unless and until a formal contract is prepared and executed, this bid together with your written acceptance thereof shall constitute a binding contract between us.

We understand that if our Bid is accepted, we are to be jointly and severally responsible for the due performance of the contract.

We understand that you are not bound to accept the lowest or any bid received by you, and you may reject all or any bid; you may accept or entrust the entire work to one vendor or divide the work to more than one vendor without assigning any reason or giving any explanation whatsoever.

We understand and agree that the names of short listed bidders for empanelment shall be communicated to the bidders either over phone/e-mail/letter.

Dated at ____/____ day of ____ 2015.

Yours faithfully,

For _____

Signature _____

Name _____

Address _____

(Authorised Signatory)

Annexure-B
COMPLIANCE STATEMENT
DECLARATION

Terms and Conditions

We hereby undertake and agree to abide by all the terms and conditions stipulated by the Bank in this RFP including all addendum, corrigendum etc. (Any deviation may result in disqualification of bids).

Signature:

Seal of company

Technical Specification

We certify that the systems/services offered by us for tender confirms to the specifications stipulated by you with the following deviations

List of deviations

1) _____

2) _____

3) _____

4) _____

(If left blank it will be construed that there is no deviation from the specifications given above)

Signature:

Seal of company

Annexure - C

Pre-Qualification Criteria:

The bidders are also to meet the following pre-qualification criteria

- i. The average turnover of bidding company (not parent company) for the last three financial years must exceed Rs. 5 Crore (Documentary proof to be provided).
- ii. The bidding company should be a profit making company in the last 3 financial years. (FY 2012-13, FY 2013-14 & FY 2014-2015).
- iii. Empanelment with CERT-In as IS Audit Organization
- iv. The bidder Company should have at-least 10 qualified IS Audit professionals (DISA/CISA/CISM/CDAC/CEH/ISO 27001) in their payroll.
- v. The bidder should have at least three years' experience in IS Audit area and they should have done this exercise in at least 3 Govt. organizations/PSUs /FIs/PSBs.

Note: Bidders are to submit documentary proof to establish the qualification of all above mentioned criteria.

Annexure - D

[To be submitted along with Technical Bid]

**ECS MANDATE
FORM FOR PROVIDING DETAILS OF BANK ACCOUNT FOR CREDIT OF PAYMENT
FROM NATIONAL HOUSING BANK**

(Please fill in the information in CAPITAL LETTERS)

1. Name of the vendor/supplier _____

2. Address of the vendor/supplier _____

City _____ Pin Code _____

E-mail id _____

Phone / Mobile No. _____

Permanent Account Number (PAN) _____

Service Tax Registration No. _____

TIN No. _____

3. Particulars of Bank Account

A. Name of Account same as in the Bank _____

B. Name of the Bank _____

C. Name of the Branch _____

D. Address of the Branch with Tel No. _____

E. Account No. (appearing in Cheque book) _____

F. Account Type (SB, Current, etc.) _____

G. MICR No. _____

H. IFSC Code of the bank branch (to be obtained from the respective branch) _____

I/We hereby authorize National Housing Bank to credit payment(s) to my/our above bank account by ECS. # (#ECS will accepted on centers where the facility is available).

I/We hereby declare that the particular given above are correct and complete. If the transaction is delayed or not effected at all by ECS for reasons of incomplete or incorrect information, I/we would not hold National Housing Bank responsible. I also undertake to advise any change in the particulars of my account to facilitate updation of records for purpose of credit of amount through RTGS/NEFT.

I also agree that without prejudice to the generality of the foregoing, in the event National Housing Bank is not able to carry out the ECS instructions given by me, National Housing Bank may make such arrangements for payment as deemed appropriate by it, for effecting the transaction.

Place:

Date:

Signatory/ies

Authorized

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

Bank's Stamp:

Date:

Signature of the Authorized Official of the Bank