

**Pre-Bid Queries response for RFP Reference No-NTB/CIAD/AMS/2023/013 for Supply, Installation, Customization, Implementation, Integration, Training, Support and Maintenance of Audit Management Solution for Risk Based Internal Audit published on 26-10-2023.**

S. No.	Page No./ Section No.	Clause no	Reference Subject	Clarification Sought	Response by Bank
1	Page 6, Section I – Invitation for Bid (Point 2)	Invitation for Bid (Application Money)	Rs. 29,500/- (Rupees Twenty Nine Thousand Five Hundred only) inclusive of GST Application Money has to be deposited as DD / PO / NEFT at the time of submission of Bid	Our organization is registered as a "Medium" entity under MSME Act of Govt, of India, Request Bank to waive off the tender fee as per GFR 2017 Guidelines - Rule No. 161 wherein it is mentioned that MSME's should be exempted from payment of tender fees.	This clause cannot be amended
2	Page 16, Section II: Instructions for Bid Submission (Point 4.15)	Earnest Money Deposit (EMD)	Earnest Money Deposit (EMD) of Rs. 1,00,000/- (Rupees One Lakh Only) Earnest Money Deposit (EMD) has to be submitted in the form of DD/PO/NEFT/RTGS or Bank Guarantee.	Our organisation is registered as a "Medium" entity under MSME Act of Govt, of India, Request Bank to waive off the EMD as per GFR 2017 Guidelines - Rule No. 161 wherein it is mentioned that MSME's should be exempted from payment of EMD.	This clause cannot be amended
3	Page 19, Section II: Instructions for Bid Submission [Point 4.31 (7)]	Evaluation of Eligibility Criteria	<p>BIDDER experience in implementation of</p> <p>proposed Audit Solution in PSU/Commercial Bank/ Govt. Organization in India to be calculated as below: Each Organization implementation will carry 2 Marks for Implementation in PSU Bank/ Private/ Scheduled Commercial Bank</p> <p>1 Mark for implementation in RRB / *Co- Operative Bank in India.</p> <p>*The Co-Operative Bank must have the following criteria as on 31.03.2023.</p>	We request bank to modify the clause for Co-Operative Bank as mentioned below: iv) Total Business of Rs. 1,000 crore or above in India.	<p>BIDDER experience in implementation of proposed Audit Solution in PSU/Commercial Bank/ Govt. Organization in India to be calculated as below: Each Organization implementation will carry 2 Marks for Implementation in PSU Bank/ Private/ Govt. Organization in India/Scheduled</p>

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			<p>iii) Branch Operations in at least three states in India.</p> <p>iv) Total Business of Rs. 25,000 crore or above in India.</p> <p>(Copy of proof must be closed for both Point No i and ii)</p>		<p>Commercial Bank</p> <p>1 Mark for implementation in RRB /*Co-Operative Bank in India.</p> <p>*The Co-Operative Bank must have the following criteria as on 31.03.2023.</p> <p>i) Branch Operations in at least three states in India.</p> <p>ii) Total Business of Rs. 1,000/- crore or above in India.</p> <p>(Copy of proof must be closed for both Point No i and ii)</p>
4	Page 23, Section II: Instructions for Bid Submission [Point B (3)]	Scoring Parameter	<p>BIDDER experience in implementation of proposed Audit Solution in PSU/Commercial Bank/ Govt. Organization in India to be calculated as below:</p> <p>Each Organization implementation will carry 2 Marks for Implementation in PSU Bank/ Private/ Scheduled Commercial Bank</p> <p>1 Mark for implementation in RRB /*Co-Operative Bank in India.</p> <p>*The Co-Operative Bank must have the following criteria as on 31.03.2023.</p> <p>iii) Branch Operations in at least three states in India.</p> <p>iv) Total Business of Rs. 25,000 crore or above in India.</p> <p>(Copy of proof must be closed for both Point No i and ii)</p>	We request bank to declare the scoring marks applicable for the solution implemented in Government Organization	<p>BIDDER experience in implementation of proposed Audit Solution in PSU/Commercial Bank/ Govt. Organization in India to be calculated as below:</p> <p>Each Organization implementation will carry 2 Marks for Implementation in PSU Bank/ Private/Govt. Organization in India/Scheduled Commercial Bank</p>

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					<p>1 Mark for implementation in RRB /*Co-Operative Bank in India.</p> <p>*The Co-Operative Bank must have the following criteria as on 31.03.2023.</p> <p>i) Branch Operations in at least three states in India.</p> <p>ii) Total Business of Rs. 1,000/- crore or above in India.</p> <p>(Copy of proof must be closed for both Point No i and ii)</p>
5	Page 42, Section III – Details of Scope of Work [Point 5.8 (2)]	Interface and Integration Requirements	<p>The Bidder is required to design, develop and maintain interfaces between the proposed Solution with the applications and systems mentioned below but not limited to:</p> <ul style="list-style-type: none"> <li>• Core Banking System (CBS)</li> <li>• LOS (Loan Originating System)</li> <li>• EWS (Early Warning System)</li> <li>• Any other System as per Bank's requirement</li> </ul>	<p>We assume that bank will provide the SDK / API to integrate with following application and systems:</p> <ul style="list-style-type: none"> <li>• Core Banking System (CBS)</li> <li>• LOS (Loan Originating System)</li> <li>• EWS (Early Warning System)</li> <li>• Any other System as per Bank's requirement</li> </ul>	Yes, this will be discussed with successful bidder
6	Page 45, Section III – Details of Scope of Work (Point 5.17)	Procedures in place to periodically test the backed-up data	<p>The proposed solution should have necessary capacity, systems and procedures in place to periodically test the backed-up data, application pertaining to products to ensure recovery without loss of data or audit-trails. The proposed solution should have Data storage, security and privacy protection as per extant laws/ instructions.</p>	<p>We request bank to specify on the policy for retention of data, in addition specify the periodicity of backed up data for testing.</p>	<p>Bidder should retain the Data of the Bank for the periodicity of Five year Mandatory as per Bank Policy for Inspection/Audit Report.</p>

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7	Page 49, Section IV – General Conditions of Contract and Service Levels Agreement [Point 6.1 (c)]	Warranty	Bidder should setup one centralized L2 Support at Bank Site till the completion of warranty period as mentioned above. The Bank has a right to interview and reject resources deployed by the Bidder.	Request Bank to please clarify, whether 2 onsite Resource will be required by Bank, one resource for FM services till go-live and the other L2 Support resource during warranty period.	Bidder should setup only one centralized L2 Support at Bank Site till the completion of warranty period. The Bank has a right to interview and reject resources deployed by the Bidder. Bank presume the cost of onsite resource including warranty period will be provided under point no 7.8 of Commercial Bid Format mentioned under point no. 3 i.e. other cost.
8	Page 59, Section V – Bid Submission Format (Point 7.8)	Commercial Bid Format	GRAND TOTAL OF PROPOSED SOLUTION in INR (Excluding GST/Other taxes)  In Terms & Condition: The price indicated above shall be inclusive of all charges and no separate charges shall be paid by the bank.	We request bank to kindly confirm on the total amount is exclusive OR inclusive of GST / other taxes.	The prices quoted by the Bidder shall be exclusives of all applicable taxes i.e. GST (SGST, CGST & IGST). GST will be paid on actual of original invoice.
9	Page 62, Section V – Bid Submission Format (Point 7.10)	Details of Hardware & Operating System Requirement	*Please mention Make / Model (if any), type and number of processors, Memory, bus speed, hard disk & Operating System, number of users, license type, version etc.	We request bank to modify the clause as Make & Model cannot be provided at this stage. Operating sytem, Harddisk Capacity & Memory will be declared as part of Hardware Sizing in addition to License type & version.	With reference to footnote of point no. 7.10 related to details of hardware & operating system requirement we are to clarify that model may not to be specified. However, the

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					other details remain same.
10	Page 66, Section V – Bid Submission Format (Point 1.23)	Compliance to Functional Specifications	The system should be able to generate letters /e-mail for the communication of rating by RO/ CIAD to the branches. The system should store the ratings. It should be possible to store the ratings of earlier years also and generate various types of the reports based on the ratings. The Controlling offices should be able to generate reminders through letters/ emails/ SMS etc. in respect of branches /Offices where Inspection reports are pending. This should be for Branches coming under respective Controlling Offices.	We assume that bank will share details of POP3 email setting of IMAP Server towards E-mail Functionalities and SMS Gateway Server details for SMS Functionalities.	Yes, this will be discussed with successful bidder
11	Pg No. 20/ Section 4.31	7	The proposed application should be running for at least -2- years in any -1- Scheduled Commercial Bank/ PSU / Private Bank/RRB /Co-Operative Bank*in India.	Kindly request change to - Bidder should have implementation of audit & offsite monitoring solution in at least 1 Scheduled Commercial Bank/ PSU / Private Bank/RRB /Co-Operative Bank*in India and it should be live for at-least 2 years in that organisation	This clause remains same in accordance with the RFP

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12	Pg. No. 23/ Section 4.32	1	The BIDDER/OEM shall have an annual turnover of at least 5 Crores each for the last three (3) financial years (i.e., 2020-21, 2021-22 and 2022-23) should be .Turnover between 5 Cr to 10 Cr INR – 3 Marks. .Turnover between 10 Cr to 20 Cr INR – 4 Marks. .Turnover above 20 Cr INR – 5 Marks	Kindly request change to - he BIDDER/OEM shall have an annual turnover of at least 5 Crores each for the last three (3) financial years (i.e., 2020-21, 2021-22 and 2022-23). The average for last 3 financial years should be - · Turnover between 1 Cr to 5 Cr INR – 3 Marks · Turnover between 5 Cr to 10 Cr INR – 4 Marks · Turnover above 10 Cr INR – 5 Marks	This clause remains same in accordance with the RFP
13	Pg. No. 28/ Section 4.40	3	Bank Guarantee for Contract Performance: 10% of Purchase Order value	As per GOI policy PBG for MSMEs is 3%. Kindly confirm that for MSME it will be considered at 3% of the total contract value	This clause remains same in accordance with the RFP
14	Pg. No. 40/ Section 5.3	15	The Bidder shall have an escrow arrangement for the source code for ensuring continuity of services in case the vendor defaults or is unable to provide services. Cost towards Escrow arrangement should be a part of Commercial	Kindly request for removal of this clause	This clause remains same in accordance with the RFP
15	Pg. No. 49/ Section 6.3	i	OneTimeApplicationSoftware/licensecostandthird-partyapplicationcost(ifany)	Kindly request to provide License cost 100% against delivery of licenses to bank	This clause remains same in accordance with the RFP
16			Not defined	Licenses count: Auditors: Auditees :	This will be discussed with successful bidder
17	Pg. No. 37/ Section 5.2		Offsite Monitoring System (OMS)	How many analysis/ scenarios / controls reports will be taken up as part of initial implementation?	This will be discussed with successful bidder
18	Pg. No. 37/ Section 5.2		Offsite Monitoring System (OMS)	Are the Exception report development to be carried out by Vendor or Direct exception reports will	This will be discussed with successful bidder

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				provisioned to exception management system?	
19	Pg. No. 37/ Section 5.2		Offsite Monitoring System (OMS)	If yes, Number of exception reports to be developed?	This will be discussed with successful bidder
20	Pg. No. 37/ Section 5.2		Offsite Monitoring System (OMS)	If yes, Business rules be provided by the bank ?	This will be discussed with successful bidder
21	Pg. No. 37/ Section 5.2		Offsite Monitoring System (OMS)	What is the total number and types of workflows?	This will be discussed with successful bidder
22	Pg. No. 37/ Section 5.2		Offsite Monitoring System (OMS)	Is there a configurable workflows requirement?	This will be discussed with successful bidder
23	Pg. No. 37/ Section 5.2		Offsite Monitoring System (OMS)	Total number of off-site monitoring dashboard viewer users?	This will be discussed with successful bidder
24	Pg. No. 37/ Section 5.2		Offsite Monitoring System (OMS)	Number of Dashboards that needs to created by Vendor ?	This will be discussed with successful bidder
25	Pg. No. 37/ Section 5.2	i	Proposed Solution should be useful for RBIA	Kindly define Scope of usefulness with RBIA.	This will be discussed with successful bidder
26	Pg. No. 31/ Section 5.1	A	Type of Audit	Are there any sub-types of audits to be considered under RBIA?	This clause remains same in accordance with the RFP
27	Pg. No. 31/ Section 5.1	A	Type of Audit	Does RBIA follow single audit workflow or conditional workflow? If conditional then how many parameters are there?	This clause remains same in accordance with the RFP
28	Pg. No. 33/ Section 5.1 B	41	The transfer/upload of the legacy data into the solution compatible file structure shall be the responsibility of the bidder.	Please provide size and format of the legacy data	Yes, this will be discussed with successful bidder
29	Pg. No. 33/ Section 5.1 B	41	The transfer/upload of the legacy data into the solution compatible file structure shall be the responsibility of the bidder.	Is there any extraction from unstructured data like pdf or word files?	Yes, this will be discussed with successful bidder

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30	Pg. No. 34/ Section 5.1 B	n	Ad-hoc reports	Is there any upper limit for ad-hoc reports	Yes, this will be discussed with successful bidder
31	Pg. No. 40/ Section 5.3	8	The Bidder should develop new Reports to modify/ combine existing reports as per instructions / requirements from RBI/Bank, etc. during the whole contract period of 5 years.	It should be taken as change request	This clause remains same in accordance with the RFP
32	Pg. No. 42/ Section 5.8	2	Any other System as per Bank's requirement	Kindly request the bank to provide the systems to integrate else kindly confirm if bank will provide the connectors and connectivity to the required system?	This clause remains same in accordance with the RFP & discussed with successful bidder
33	31 Section 3	Scope of Work (5.1)	B- Aspects to be covered by Solution- Point 1	Whether bank requires Department Audit?	Yes, formerly mentioned in RFP Scope of Work (5.1) B - point no1 at page no 31, "The system should be able to accommodate functionality of audit at the Branches, Regional Offices, Head Office Departments, Naini Loan Points, other offices, CIAD, Head Office (HO)".
34	32 Section 3	Scope of Work (5.1)B-	Aspects to be covered by Solution- Point 22	Audit Observation – Need more clarity on positive confirmation- certificate	This is part of spot rectification
35	32 Section 3	Scope of Work (5.1)B-	Aspects to be covered by Solution- Point 22	Need more clarity on 'To create any types of checklist'	This will be discussed with successful bidder, Bank will provide information vendor can create checklist



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36	34 Section 3	D-Technical Functionalities – point 1	Dynamic Audit checklist creation	Please explain more at which level the checklist creation to be done?	This clause remains same in accordance with the RFP and discussed with successful bidder
37	43 Section 3	Scope of Work 5.12- Customization	The Bidder is expected to undertake a detailed assessment of current system and procedures for the Solution. The Bidder is expected to document the current state assessment and get the Same reviewed and approved by the bank. The Bidder is also expected to identify the current state gaps between the procedures and practices followed by the Bank and requirements as per Scope of this RFP being implemented and get the same reviewed and approved by the Bank.	If Bank expecting Restructuring the Current Audit Process	This will be discussed with successful bidder
38	32 Section 5.1	Section 5.1 B, Sl.No: 21	The Bank should be able to create any types of Inspection with suitable check list	We understand from the scope of RFP the bank wants to implement below Modules. 1)Risk Based Internal Audit 2) Department Audit 3)OMS-Offsite Monitoring System Is our understanding right?	Yes, This clause remains same in accordance with the RFP

\*\*\*\*\*END OF DOCUMENT\*\*\*\*\*