

Madam/ Dear Sir

Sub: Sealed quotation for conducting Audit of Centralized CRisMAC and Loan Originating System

Nainital Bank Limited is having a hosted Primary site at Nainital & DR Site at Haldwani for Audit of Centralized CRisMAC System and Loan Originating System through CERT-IN empaneled auditors.

PURPOSE: To engage CERT-In empaneled Auditing firm, which has the capability and experience to conduct a comprehensive Application / functional /Information Systems Audit of Loan Originating system & Centralized Crismac (NPA Management application).

Process & Timeframe

The following is an indicative timeframe for the overall selection process. Bank reserves the right to vary this timeframe at its absolute and sole discretion should the need arise. Changes to the timeframe will be relayed to the affected Respondents during the process.

Description	Due Date
Issue quotation Notification	06.03.2021
Last date of receiving written request for clarifications	10.03.2021
Email ID for clarifications	ciad@nainitalbank.co.in
SPOC from Bank	Manoj Dwivedi, Manager IS Audit
SPOC Mobile No	7055101509
SPOC Email ID	ciad@nainitalbank.co.in
Mode for submission of quotation	Sealed Quotation
Last date for submission	18.03.2021
Address	Central Internal Audit Division THE NAINITAL BANK LIMITED 4 th Floor, UPRNN Building C-20 / 1A / 7 Sector 62, Noida Uttar Pradesh – 201309 Ph:-120-2401083
Duration of Audit	Within 15 Days from the date of PO
Submission of Draft report	Within 25 days from the date of PO
Submission of Final Report	Within 1 month from the date of Submission of Draft Report
Compliance Audit	Within 1 month from the intimation date for compliance audit

A. ELIGIBILITY CRITERIA

Sr. No	Eligibility Criteria	Support Documents to be submitted
1	The vendor should be Company/Firm/Organization registered in India	Certificate of Incorporation & Commencement of Business (whichever applicable) should be submitted
2	The vendor should have a valid CERT-In Empanelment.	Cert-in empanelment Document.
3	The SP should have a pool of resources who possess qualifications such as :CISA/ CISSP/ CCNA/ CISM/ GIAC(SANS)	Detail required to share
4	The vendor should have audited functional audit of NPA management and Loan Originating system and Information Audit of CBS Infra at least any two Indian Bank Banks (one Schedule Commercial Bank)	Copy of relevant certificate/ purchase order and Client certificate.
5	The vendor should not be banned/blacklisted/ debarred by any Bank/PSU/GOI Department/ Indian Financial Institute	An undertaking letter to be enclosed by vendor
6	Vendor should have at least 3 to 4 year experience in offering Auditing services such as IS audit, VA PT, Application audit ,Security assessment, defining security policies procedures & baselines, Risk Assessment, security Consulting assignments to clients in India.	Copy of relevant certificate/ purchase order and Client certificate.

B. AUDIT SCOPE: ANNEXURE I

C. COMMERCIAL FORMAT: Annexure II

D. RIGHT TO REJECT: Bank reserves the absolute and unconditional right to reject the response to this inquiry if it is not in accordance with its requirements and no further correspondence will be entertained by the Bank in the matter. The Bank may decide not to accept any quote or may accept a quote that is not a lowest quote. The bank reserves the right to cancel the tender process at any point in time

E. Last Date of Submission of Quotation:

The last date for submission the sealed quotation is of password protected is 18.03.2021 at mentioned.

Annexure I- Audit Scope

The scope of work for audit of Loan Originating system & Centralized Crismac application is as under

- 1- Operating System (OS):** Set up and maintenance of operating system parameters, Updating of OS Patches, Hardening of Operating System etc.
- 2- Review of Antivirus, USB policy etc.**
- 3- DBMS and Data Security Control:** Secure use of SQ, Logical access controls, Control procedures for sensitive database passwords, Procedures for data backup, restoration, recovery and readability of backed up data etc.
- 4- Business Continuity Plan & Disaster Recovery Planning:** DR drill calendar, RTO, RPO,
- 5- Application and functional audit– LOS & CrisMac application**
 - **Data Extraction, Transformation, Storage & Integration**
 - **Process Management / Workflow**
 - **Functionality of NPA tracking:** The logic and flow of the automated NPA Tracking and verify that the classification of assets & Provisioning by the system is accurate.
 - Study & review the implemented functionality of applications in all the areas and to ensure correctness of functionality of each module and all modules in totality vis a vis availability of the functionality / features in the version currently implemented in the Bank.
 - To Review Setting of various parameters in Applications, updates thereof and actual working of them as intended and accurately.
 - 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.
 - Application Architecture.
 - Review / audit security measures for CIA
 - Review of segregation of roles and responsibilities with respect to application software to improve internal controls
 - Review of Input, Processing and Output Controls. Review adequacy and completeness of controls
 - Audit of management controls including system configuration/ parameterization development. Complete Review of Application Parameterization.
 - Authorization controls such as Maker Checker, Exceptions, Overriding exception & Error condition.
 - 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.
 - Application-level risks at system and data-level including system integrity risks, system-security risks, data risks & system maintainability risks
 - Review of Software customization and adherence to SDLC Policy and procedures for such customization.
 - Adherence to Legal & Statutory Requirements.
 - Review of access given to various employee of vendor/service provider.
 - Mechanism deployed by vendor and resolution including re-testing and acceptance. Change management procedure during conversion, migration of data, version control etc.
 - Backup/fall-back/Restoration procedures and contingency planning along with documentation.
 - Audit of application interfaces with other systems or interface of other system with application.
 - Sufficiency and coverage of UAT test cases

6. Network Management, Network Segmentation & Security Audit: Network Architect Diagram, Firewall configuration, Review, Port review, Router configuration review.

7. Review & Agreement: NDA, SLA, Source Code, escrow agreement

8. Application and Infra Detail: The application infrastructure for the applications which are covered under the scope of audit has been tabulated below:

Infra Detail		
Description	Primary	DR
Location	Head Office Nainital	Remote Data Center Haldwani
No of Server	1	1
Operating System	Winsvr std core 2019 SNGL-OLP 16 LIC NL Core LIC	Winsvr std core 2019 SNGL- OLP 16 LIC NL Core LIC
RDBMS	SQL svr std core 2019 SNGL OLP 2 LIC NL core LIC QLFD	SQL svr std core 2019 SNGL OLP 2 LIC NL core LIC QLFD
No of Firewall	1	1
No of Router	2 (CBS connectivity)	2 (CBS connectivity)
Antivirus	1 (Quick Heal)	1 (Quick Heal)
Other detail		
No of Application	2	
Name of Application	Loan Originating System & Centralized CRisMAC	
Public facing application Yes/ NO	No	
Whether Applications audit has to be done onsite OR secured remote access (VPN)	On Site	
Location for audit	Head Office Nainital & Remote Data Center Haldwani	
SPOC for Audit Scope	Alok Sah - 9927199959	

Annexure II-Commercial

Sr. No	Description	Price (Exclusive Tax)
A	Audit of Centralized Crismac application & Loan Originating system (Draft report & Final Report)	
B	Compliance Audit of Centralized Crismac application Loan Originating system	
Total Prices includes Travelling, Lodging and other expenses		