Summarized Replies/Clarifications
On RFP No: IB: CO: I&A: ISA: 1 / 2020-21

1. Clause Reference : Schedule of Events and Bid Details

1.1. **Qns - As there is a little time available post pre-bid clarification and there are various area including risk, contract, POA and financial instruments can be only obtained post pre-bid clarifications. We seek at least 2 week's extension on bid submission for us to gather all the approvals and documents.**

Ans - In order to have the presence of auditor at the early stages of migration process in the Bank, bidders are requested to adhere to the timeline stipulated in the RFP.

1.2. **Qns - Kindly clarify what is expected in relevant brochures.**

Ans - Brochures may contain profile of the bidder firm, resources, experience and other credentials as deemed as relevant.

2. Clause Reference : Scope of Audit

Detailed Scope of Audit:

2.1. **Qns - Kindly clarify how many rounds (for Pre and Post Migration Audit) are expected in each phase. Is it one round each during Pre and Post migration? Also, please confirm how many phases are there and all the in-scope applications will follow the same phases or migration rounds. This information is critical for effort estimation.**

Ans - It is planned for 3 mock migrations, which may be used for firming up the audit process and data consistency. Final migration will be only once.

2.2. **Qns - Please elaborate the expectation from Migration process Audit of processes and logs. Does this allude to the assessment/ review of process for data migration such as change management process, backup process, Testing and approval process etc.**

Ans – Yes, the scope of the migration audit is to audit the pre-migration audit, process of migration and post-migration data audit.

2.3. **Qns - Please elaborate on the expectation from assessor in terms of inputs to overcome load rate bottleneck for hardware requirements.**

Ans - Hardware sizing is out of scope. This is a migration audit with respect to process and Data.

2.4. **Qns - Will a comprehensive database mapping document and schema be made readily available to the assessor?**
Ans - Information would be provided to the successful bidder.

2.5. **Qns - How many instances/ setup of migration needs to be analyzed? E.g. 1 Mock setup and 1 post production setup**
Ans- There are two or three mocks to be audited to firm up the audit software and provide the report after auditing the Production once and confirmation in confirmation audit.

2.6. **Qns - Approx. No. of tables, No. of critical fields, Approx No. of records, Overall size of migrated data.**
Ans - Audit will be done for approximately above 5000 important Master tables apart from other smaller tables for applications in scope. Approximate number can only be provided.

2.7. **Qns - Kindly provide the retention period of history table and volume of data.**
Ans- One or two tables which holds history table (past 14 years) needs to be audited.

2.8. **Qns - No Application VAPT to be carried out – pls confirm?**
Ans - VAPT is out of scope.

2.9. **Qns- Review the IT landscape and review of target state infrastructure, what is the expectation from the scope?**
Ans - Removed from Scope of this audit. The RFP will be floated separately later on, if required.

2.10. **Qns - Please elaborate on expectation from point 17- review of functionality of database?**
Ans - Dblinks, Stored procedures and other data base objects are intact, free from database errors and usable. Database mode before migration and post migration should be same. Whether DC, DR synchronization is happening continuously.

2.11. **Qns - Please confirm that the scope would be as per point 1 to 17 for all the applications or there would be specific scope are to covered for applications like HRMS or other Internal applications.**
Ans - Scope 1 to 17 will be generally the same for all the applications.

2.12. **Qns - Kindly provide the information on the detailed scope involved (List of exact applications in scope). The information provided is not sufficient for effort estimation.**

Ans - Please refer to 2.2.3 in page 7 of the RFP document.

Conduct of Audit:

2.13. **Qns - As part of our practice and similar work we delivered as various banks, we do not issue certificate of compliance, however we submit an exception based report which outlines the executive summary, scope, approach, regulatory circular, gaps identified and suggestions. Please confirm if the same is acceptable. Additionally, the report cannot be shared with any third-party.**

Ans - The deliverables are provided clearly in the RFP document in page no 11 & 12 section no 2.4. It is expected that the audit points found out should be closed, for which there will be a confirmatory audit also and one report pertaining to the confirmatory audit to be provided.

Deliverables:

2.14. **Qns - W.r.t requirement of risk categorization for the findings, categories can be provided for process level findings but for migration related findings, any shortcomings are treated as equally critical unless a valid business justification exists. Bank to clarify in case of any disconnect in the understanding.**

Ans - The migration of data involves multiple types of data including those which are required only for enquiry. Such data can be re-migrated even if an error / gap is found in migration. However non-migration / incorrect migration of data required for running live accounts is different. Hence there are multiple risk grades with respect to migration gaps also. All may not be termed as critical.

2.15. **Qns - There is a mention that vulnerabilities must be discussed on an ongoing basis with the stakeholders. In essence, it would allude to sharing of the findings on a frequent basis, which in turn serves as a ongoing draft report and eliminates the need for a draft during the end of the assessment. Bank to clarify in case of any disconnect in understanding.**

Ans - In view of the involvement of various stakeholders in the Bank, it is expected that the vulnerabilities are discussed with the respective teams on an ongoing basis so as to ensure on the spot rectification. Further, at the end of the assessment, a Draft audit report shall be submitted which can be finalised on getting acceptance from the Bank so as to avoid ambiguity.

3. Clause Reference : Instruction to the Bidders

Registration

3.1. **Qns** - Kindly let us know the date and time of the Training or we need to get this information from M/s. NextendersPvt. Ltd.'s support desk.
Ans - Will be informed after tech evaluation of the bids, to the successful bidders.

Evaluation and Comparison of Bids

3.2. **Qns** - Kindly confirm whether there is any technical evaluation involved as there is no specification of the same in the evaluation criteria. Is it that all the bidders complying to the eligible criteria would be eligible for commercial bid or it would be on bank's discretion.
Ans - Technical bid submitted in part I of the document will be evaluated to shortlist bidders.

4. Clause Reference : Eligibility Criteria

4.1. **Qns** - We are not empanelled with CERT-In, but we meet all other criteria in this clause and have earlier experience of conducting migration audits. Request the Bank to consider waiver of CERT-IN empanelment for MSME organizations as per Public Procurement Policy of Government of India where relaxations in eligibility criteria could be given for MSME organizations.
Ans - RFP terms to continue.

5. Miscellaneous(Not referred to RFP clauses)

5.1. **Qns** - Do we need to conduct the audit from a centralized location or need to visit multiple sites? If yes, share the locations to be physically visited.
Ans - From Chennai for all applications in Scope and one application (Treasury) at Mumbai.

5.2. **Qns** - Can the audit be carried out remotely?
Ans - Onsite.

5.3. **Qns** - Due to covid, the team might be performing the execution remotely. There might be a requirement for VPN connectivity to the database?

Ans - The project is envisaged to be done from Chennai and Mumbai Remote execution may not be permissible as the servers vlan are from Production. Anyway for discussions etc we will require the auditing resource onsite.

5.4. **Qns - Since the migration activities to be ongoing for 6 months – pls provide the expected timeframe & duration for the audit.**
Ans - 6 months for Audit and 1 month addition for report submission after rectification.

5.5. **Qns - As per RFP, assessor needs to liaison with third party for few areas. Would the bank take up the discussion of findings with the third party on an ongoing basis?**
Ans - Will be provided to the successful bidder.

5.6. **Qns - Would the required system specifications be provided to the assessors viz-a-viz: Intel I5 and above processor, 26 GB and above memory requirements etc.? In case of any performance issues, would changes be accommodated?**
Ans – Yes.

5.7. **Qns- What is the CBS product used by the bank? Also, what is the database client that is implemented in the bank?**
Ans - Please refer to para 2.2.3 in page 7 of RFP for application related queries for the Database, Oracle latest version is in use.

5.8. **Qns - Would the migration also be split into phases based on banks branches to be migrated or the activity would be one time migration of all branches.**
Ans - One time for all branches.

5.9. **Qns - What is the expectation from the assessor during the actual day of migration?**
Ans - Only on the Actual date of Migration, the data will remain the same. If server comes up, customers will start accessing live data and cannot be audited with the static data.

5.10. **Qns - Please clarify if the expectation from deliverables will include pre migration preliminary report, pre migration final report, post migration preliminary report, post migration audit report, compliance report and compliance certificate to the regulator?**
Ans – Yes.

****