

Date: October 1, 2021

**CORRIGENDUM 1: E-TENDER REF NO:- EXIM/RFP/2021-22/20 : PRE-BID QUERIES -  
CLARIFICATION/ RESPONSE**

This is for the information of all the bidders that clarifications/responses to the pre-bid queries are being included in the tender document (E-Tender Reference No: EXIM/RFP/2021-22/20) for the **“Selection of Service Provider for Conducting Application Audit at Export- Import Bank of India”**. The bidders are advised to consider the following amendments/Corrigendum (Copy Enclosed at Annexure) before submission of their bids against this tender.

All other terms and conditions of the tender document will remain unchanged. The tender document is available on our website <https://www.eximbankindia.in>.

Sd/-  
(Sanjay Trivedi)  
Deputy General Manager

## ANNEXURE

### Common Pre-bid Queries Received from Vendors

Sr. No.	RFP reference	Query	Exim Bank's Response
1)	Page number 10 6. CONDITIONS FOR MICRO, SMALL AND MEDIUM ENTERPRISES(MSMEs)	A5. The MSMEs registered with above mentioned agencies /bodies are exempted from payment of Earnest Money Deposit (EMD) & tender fees.	Relevant MSME's registration document needs to be submitted by the bidders to avail such benefit, prior to submission of bid. Bank will satisfy the eligibility and act accordingly.
2)	Page number 20 1.0 (Annex 1 Locations)	Request your kind confirmation on the number of branches and number of branches to be selected on sample basis.  Request you to kindly confirm that remote walkthroughs will be provided, or a remote model will be adopted to carry out the assessments considering the Covid Situations and Restrictions to travel for offices outside Mumbai, in case of any.	The application audit shall be conducted by bidder at Bank's Head Office at Mumbai as mentioned in tender document.  The audit is required to be done onsite.
	<b>7. Scope of Work</b>		
3)	Page number 11 & 19 When the applications in scope of this audit were implemented in production environment?	What is the audit period to be covered as a part of this audit and what will be the duration of the audit?	Applications were implemented during FY 2020-21 in production environment. The audit period is the current FY 2021-22. Refer page no 19 for the duration the audit.

Sr. No.	RFP reference	Query	Exim Bank's Response
4)	Page number 11 Study each application for adequacy of Input, Processing and Output controls and conduct various tests to verify existence and effectiveness of controls	Request Bank to kindly provide us the list of Application and Details which will be part of the Audit Scope.	Applications to be covered under the scope of audit are as below:  1. IBM MQ Implementation for CBS-SWIFT STP (Straight Through Process) 2. ACCOPS (Two Factor Authentication Application)
5)	Page number 12 Auditing, both at client side and server side, including sufficiency and accuracy of event logging, SQL prompt command usage, Database level logging etc.	Request Bank to kindly provide more details about the same	Application to be audited both client & server side with review of its accuracy and completeness of controls. Check relevant logs for its sufficiency and accuracy and suggest remedial measures, if applicable.
6)	Page number 12  Adequacy of hardening of all Servers and review of application of latest patches supplied by various vendors for known vulnerabilities.	Request Bank to kindly provide us the list of Infrastructure with the count under assessment.  Whether Bank is using any capacity monitoring tool to monitor servers, database and network devices?	Refer para 8 below for infrastructure details.  Bank has necessary tools to monitor servers, networks & Operating System.
7)	Page number 12	Whether we need to cover the Cyber security policy review to the extent of applications and related infrastructure in scope? Or Do we need to cover the complete bank's infrastructure?	Yes, bidder needs to cover the Cyber security policy review to the extent of applications and related infrastructure in the scope. Bidder need not cover complete Bank's infrastructure but specific to applications mentioned in the scope.

Sr. No.	RFP reference	Query	Exim Bank's Response
8)	<p>Page number 11</p> <p>Application Audit The scope further includes Application Audit of the various applications used by the Exim Bank.</p> <p>1. IBM MQ Implementation for CBS-SWIFT STP (Straight Through Process)</p> <p>2. ACCOPS (Two Factor Authentication Application)</p>	<p><b>Process Audit</b></p> <ul style="list-style-type: none"> <li>• number of applications for each module</li> <li>• Functionality of modules</li> <li>• Process flow</li> <li>• Any other application integrated with the application</li> </ul> <p><b>Technical Audit</b></p> <p><b>Web application – Detail required for each applications</b></p> <ol style="list-style-type: none"> <li>No. of static pages</li> <li>No. of Dynamic pages</li> <li>No. of input fields</li> <li>Types of user</li> <li>Roles of each user</li> </ol> <ul style="list-style-type: none"> <li>• No. of Servers (including type of operating system and Database)</li> <li>• No. of Desktop/Laptop and their location</li> <li>• Do we need to perform VA and Configuration audit for Network and Security devices. If yes, then please provide us the total counts</li> <li>• Network Architecture Review</li> </ul>	<p><b><u>ACCOPS</u></b></p> <p>It is a web-based application and configurable from admin portal.</p> <ol style="list-style-type: none"> <li>Single Page application and it is dynamic in nature</li> <li>AD integrated users [application user and admin users]</li> </ol> <p>No. of Servers (including type of operating system and Database) – 3</p> <p><b><u>IBM MQ Implementation for CBS-SWIFT STP</u></b></p> <p>Bank has implemented IBM-MQ middleware for STP (Straight through Processing) mode for inward as well as outward SWIFT messages in CBS through IBM-MQ method.</p> <ol style="list-style-type: none"> <li>number of applications for each module – One (1)</li> <li>Any other application integrated with the application - it is integrated with CBS/Treasury &amp; SWIFT Alliance Access</li> <li>No. of static pages – Not applicable</li> <li>No. of Dynamic pages – Not applicable</li> </ol>

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			<p>V. No. of input fields –Not applicable</p> <p>VI. AD integrated application [application user for CBS &amp; SWIFT and admin users]</p> <p>No. of Servers (including type of operating system and Database) – 4</p> <p>Auditor needs to undertake application audit only.</p>
9)	<p>Page number 11</p> <p>The application audit needs to cover the following areas:</p> <p>(a) Requirement Identification &amp; Analysis</p> <p>(b) Product &amp; Vendor Selection Criteria</p> <p>(b) Vendor Selection Process</p> <p>(c) Contracting</p> <p>(d) Implementation</p> <p>(e) Post Implementation Issues</p>	Please confirm what is expected from the auditors	<p>Auditor to verify the processes being followed vis-à-vis processes defined in the Bank wrt each of the activities, if applicable.</p> <p>The information given in the scope is self-explanatory and further details will be shared during audit.</p>
10)	<p>Page number 13</p> <p>DBS.CO/CSITE/BC.11/33.01.001/2015-16 dated 02/06/2016 Accordingly, Risk Management Department has framed Cyber Security Policy. Since Cyber Security is distinct but subset</p>	Please provide us the total number of advisory to be verified	Refer the various circulars issued by Reserve Bank of India and CERT-In for the Scheduled Commercial Banks & Financial Institutions, from time to time.

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	of Information Security with emphasis on cyber security aspects, these controls need to be tested as part of Information Security Audit. Review cyber security controls as per various advisories issued by RBI or CERT-In from time to time.		The information given in the scope is self-explanatory.
11)	<p>Page number 29</p> <p>Technical Bid Criteria</p> <p>Point number 4</p> <p>Infrastructure Audits, Application Audits, Security Operation Center (SOC) Audits completed and BCP Audits completed (in the last 3 years) in any Scheduled Commercial Bank (SCBs) in India, Govt. Institutions/ FIs/BFSI Sector other than Bank in India.</p>	<p>Kindly confirm number of Work Orders/Purchase Orders (POs) to be submitted.</p> <p>In case, all the activities mentioned as per clause, how will it be considered; in case 2 activities mentioned in single Work Order/PO, how will it be considered.</p>	Refer page 29, where it is mentioned that completed assignments in the last 3 years will be considered for scoring. Bidder needs to submit completion certificate for each of the activities performed by them.