

**Request for Proposal & Quote**

**ISMS and ISO 27001 Consultancy and Re-  
certification**



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## **1. ABOUT OUR BANK**

- 1.1 The South Indian Bank Limited ([www.southindianbank.com](http://www.southindianbank.com)) is one of the leading scheduled commercial banks having 931 branches and 1293 ATM's spread across India. The Head (Registered) Office of the Bank is situated at Thrissur, Kerala State. There are twenty Regional Offices (RO), geographically spread across the country, coming under the administrative control of the Head Office.
- 1.2 SIB offers various customer services such as anywhere banking -Any Time Banking supported with online ATM's, Internet Banking, International ATM-Cum-Debit Cards, Mobile Banking, etc. The Bank has already adopted significant technological advancements and is using them to leverage business operations such as Retail Banking, Corporate Banking, Treasury, Forex etc. Currently, the Bank has 931 branches and 1293 ATM's connected on-line to the Data Center at Kochi, Kerala through Wide Area Network.

## **2 PROJECT DETAILS**

- 2.1 South Indian Bank is looking out for sealed offers (technical and commercial) from eligible, reputed authorized vendors for "ISMS and ISO 27001 Consultancy, Implementation, Audit and Certification" as described in this document.
- 2.2 The purpose of this RFPQ is to establish criteria for the selection of firm to act as a vendor ("the Vendor") in providing professional services for ISMS and ISO 27001 re-certification.
- 2.3 The prime objective of this Request for Proposal and Quotation (RFPQ) is to get re-certified against ISO 27001 ISMS for our IT Operations Department, Digital Banking Department, CISO Office, Data Centre (DC), Disaster Recovery (DR) Site and Business Continuity Plan (BCP) site. The project tentatively encompasses awareness training, creation of ISMS policy, gap analysis, documentation/process design, creation of new documents/processes and its implementation, internal audit, management review meeting, corrective-preventive actions and the final re-certification audit.
- 2.4 SIB is inviting Sealed Techno-Commercial Quotations through this Request for Proposal and Quote (RFPQ) to meet the above requirements.

## **3 TERMS & ABBREVIATIONS USED IN THIS DOCUMENT**

- 3.1 '**Bid**' shall mean the set of Bid/Request for Proposal and Quote (RFPQ) documents provided by Vendor for submitting a competitive quotation

for the execution of 'Works' in accordance with the terms specified in this document.

- 3.2 **'SIB/Bank'** means The South Indian Bank Ltd.
- 3.3 **'Data Center'** means to the Bank's Data center at Kochi, Kerala.
- 3.4 **'DR Site'** means the Bank's disaster recovery site at Bangalore.
- 3.5 **'BCP Site'** means Business Continuity Plan site at Bangalore
- 3.6 **'Project/Works'** means the work as mentioned in Scope of Work.
- 3.7 **'Vendor'** means the entity who has received the RFPQ and submitted the response Bid documents for the said 'Works' with the intention of providing a competitive quotation for the execution of Works in accordance with terms specified in this document.
- 3.8 **'NDA'** – Non Disclosure Agreement
- 3.9 **'Service Level Agreement/Agreement/SLA'** shall mean the Contract entered into between Bank and the successful Vendor who has been awarded the Purchase Order for Works.
- 3.10 **'Successful Vendor'** means the Vendor whose Bid is accepted by the Bank and been awarded the Purchase Order / Contract works.
- 3.11 **'RFPQ'** – This Request for Proposal & Quote.
- 3.12 **'IT Department'** – means IT Operations Department & Digital Banking Department of South Indian Bank Ltd.

#### **4 COMMERCIALS & PAYMENT TERMS**

- 4.1 The prices should be exclusive of all local/central taxes (GST). An approximate indication of taxes to be incurred is to be shown separately. Price total with and without taxes should be provided in the bid. A clear price break-up should be indicated.
- 4.2 The price quoted for all the services should hold good till the completion of certification validity.
- 4.3 The prices should be for all defined vendor responsibilities and scope of work provided by Bank
- 4.4 The following will be the **Terms of Payment** applicable for the items supplied against the relevant purchase orders. Milestone based invoice

should be raised only after signoff of milestone completion certificate from Bank. Payments will be made only on submission of invoice, and other documents and all deliverables necessary as per the terms agreed upon. Following will be the payment terms:

- 40% of the total cost on successful completion of first years' internal audits, closure of all internal audit points, ISO 27001 re-certification audit, closure of audit points and receipt of certificate.
- 30% of the total cost on successful completion of second years' internal audits, closure of all internal audit points, first surveillance audit, closure of audit points and receipt of certificate.
- 30% of the total cost on successful completion third years' internal audits, closure of all internal audit points, second surveillance audit, closure of audit points and receipt of certificate.

## **5 VENDOR RESPONSIBILITY AND SCOPE OF WORK**

The scope of this section is to develop and implement a comprehensive risk based program based on the ISO 27001:2013 framework for the Bank's (1) IT Operations Department (ITOD), (2) Digital Banking Department (DBD), (3) CISO Office, (4) Data Centre (DC), (5) Disaster Recovery (DR) Site, (6) Business Continuity Plan (BCP) site.

The scope of work (SOW) will be tentatively as given in Annexure 1 and elsewhere in this document but will not be limited to this.

## **6 GENERAL TERMS AND CONDITIONS**

- 6.1 SIB reserves the right to either not to implement the service/solution or to partially implement the service/solution.
- 6.2 Any incomplete or ambiguous terms/ conditions/ quotes will disqualify the offer.
- 6.3 Any set of terms and conditions from the Vendors are not acceptable to the Bank.
- 6.4 SIB reserves the right to accept or reject any bids without assigning any reason thereof and SIB's decision in this regard is final.
- 6.5 The Bank reserves the right to stop the RFPQ process at any stage and go in for fresh RFPQ without assigning any reasons OR to modify the requirements in RFPQ during the process of evaluation at any time.

- 6.6 SIB is not bound to place on the order on the lowest price Vendor or the best technical Vendor.
- 6.7 SIB reserves the right to cancel the Purchase Order if the supplied service is not completed within the agreed period from the date of PO unless extended in writing by SIB.
- 6.8 SIB reserves the right to re-negotiate the prices in the event of change in the market prices of both the services.
- 6.9 SIB can disqualify any Vendor who fails to sign the Service Level Agreement and Non-Disclosure Agreement. (SLA & NDA).
- 6.10 The implementation will be deemed to be complete if all services are commissioned and accepted by the Bank. In addition, supply of all associated documentation and training as applicable and specified in this document has to be completed to the satisfaction of the Bank.
- 6.11 The Bank reserves the right to cancel the contract and recover the expenditure incurred by the Bank if the selected vendor does not perform to the satisfaction of the bank or delays execution of the contract. The Bank reserves the right to get the balance contract executed by another party of its choice. In this event, the selected vendor is bound to make good the additional expenditure, which the Bank may have to incur in executing the balance of the contract. This clause is applicable, also, if for any reason, the contract is cancelled.
- 6.12 All inquiries, communications and requests for clarification shall be submitted in hard copies/e-mail to SIB and response for the same shall be obtained in writing. Only such documents shall be considered as valid and authoritative.
- 6.13 Successful Vendor shall be responsible for compliance with all requirements under the rules, regulations, terms & condition of all regulatory bodies/statutory authorities etc. and shall protect and indemnify completely SIB from any claims / penalties arising out of any infringements/violations. Successful Vendor shall protect and fully indemnify the SIB from any claims for infringement of patents, copyright, licenses, trademark or the like.
- 6.14 All intellectual property related to the project shall be the property of SIB and SIB reserves the right in its sole discretion to implement the same at other centers in future without involving successful Vendor.

- 6.15 The vendor shall explicitly absolve the Bank of any responsibility/liability for the use of system or other supplied software, with regard to copyright/ license violations, if any.
- 6.16 Vendor should ensure that all points in the Main Document are taken into account before submitting the Bid Documents. The vendor should submit all relevant information irrespective of whether it has been requested or not. SIB reserves all right to ask any information related to RFPQ irrespective of whether it has been mentioned in the RFPQ or not.
- 6.17 Bids once submitted shall be final and no amendment by the vendor shall be permitted. A Vendor shall submit only one set of proposals. However SIB reserves the right to request for re-submission of response to RFPQ and to re-negotiate the prices in the event of change in the market prices of required services. SIB reserves the right to ask clarifications of any vendor on any matter specified in the submitted bid.
- 6.18 Further, subsequent to the orders being placed/agreement executed, the Vendor shall pass on to SIB all fiscal benefits arising out of reductions in Government levies viz. sales tax, excise duty, custom duty, etc.
- 6.19 Responses to the RFPQ that do not meet the set timelines or incomplete in any aspect or not submitted in the prescribed format will be summarily rejected at the whole discretion of SIB.
- 6.20 All information disclosed through this RFPQ or verbally or in writing or in any manner or form including but not limited to all computerized data, information or software specifications, data, notes, memoranda and any other written/printed/typed documentation between the Bank and Vendor or vice versa shall be treated as confidential and shall not be disclosed to a third party, without mutual agreement.
- 6.21 Even if phase-wise payment is released, Bank reserves the right to re-examine all documents submitted and request for correction/updation before the final closure of project.
- 6.22 For delayed delivery/delayed performance, the penalty amount should be 18% p.a on the entire purchase order value mentioned in the purchase order concerned for the delayed number of days from date of delivery stipulated / arrived at/accepted by the vendor.
- 6.23 For non-delivery/non-performance, minimum 5% or appropriate amount/rate may be fixed on case to case basis.

## 7 RESPONSE TO RFPQ & CONTACT DETAILS

- 7.1 The time is the essence of the project. It is mandatory for vendors who respond to this RFPQ to meet these expectations as they are tightly linked to SIB's plans of implementing the ISO 27001 certification. Following are the timeframe defined for the activities.

Activity	Date
<b>Address any clarifications on RFPQ (Last date for all clarifications)</b> Clarifications may be addressed by e-mail and can be obtained by sending a mail to: <a href="mailto:ciso@sib.co.in">ciso@sib.co.in</a> . Last date for all clarifications is <b>21-01-2022, 04.00PM</b> .	<b>21-01-2022, 04:00 PM</b>
<b>Bid submission-Last Date</b>	<b>25-01-2022</b>

- 7.2 However the Bank reserves the right to extend the last date of submission, at its sole discretion.
- 7.3 SIB is not responsible for non-receipt of quotations within the specified date and time due to any reason including holidays, postal holidays, delays in approaching SIB and in other cause/reason, whatsoever.
- 7.4 Vendor should ensure that hardcopies & softcopies of both the bids are properly numbered as Page \_\_ (current page) of \_\_ (total pages). Further the authorized signatories of the vendor should initial and affix seal and sign on all pages of the hardcopies of the bids. The softcopies submitted will not be deemed accepted, if hardcopy is not received.
- 7.5 Bids with erasure / overwriting / crossing are liable to be rejected. If required, the corrections can be made by scoring out and writing afresh. The corrections shall be authenticated with authorized signature and seal.
- 7.6 Vendor should ensure that the bid documents are submitted as above only to the following address on or before the stipulated date.

### **The Joint General Manager & CISO**

The South Indian Bank Limited  
 CISO Office, 5<sup>th</sup> Floor, SIB Building,  
 New Infopark Road, Rajagiri Valley P.O.  
 Kakkanad, Ernakulam – 682 039, Kerala  
 Telephone: 0484- 2771300, 3939300, Email: [ciso@sib.co.in](mailto:ciso@sib.co.in)

## 8 SINGLE POINT OF CONTACT (SPOC)

The vendor should provide a single point contact person with cell/landline Number, email, full address etc. so that Bank can address all queries regarding this RFPQ to the designated person. This should be clearly indicated along with the response to RFPQ.



## **9 SELECTION CRITERIA**

- 9.1 The company profile and the details of the manpower to be deployed in the project with resume, past experience of the company, cost of the services offered, technical features of the services offered, delivery schedule, past experience with SIB, total cost of ownership, post implementation service and support etc. shall be some of the criteria in selecting the Vendor.
- 9.2 Local presence and nature of Vendor's support available at each location shall also be given weightage while evaluating the tenders submitted by the Vendors.
- 9.3 Bank reserves right to eliminate any vendor either before or after bid submission, at any stage, without assigning any reason whatsoever.

## **10 LITIGATION**

- 10.1 If it comes to the notice of the Bank that the Vendor has suppressed any information either intentionally or otherwise, or furnished misleading or inaccurate information, the Bank reserves the right to nullify the Qualification and to disqualify the Vendor. If such information becomes available to the Bank prior to issue of Letter of Intent, SIB reserves the right to disqualify the Vendor. If such information comes to the knowledge of the Bank after the award of work, SIB reserves the right to terminate the Contract unilaterally at the total cost and risk of the Vendor and such action would include but not limited to forfeiture of all deposits, guarantees etc. furnished in any form. The Bank also reserves the right to recover any dues payable by the selected vendor from any amount outstanding to the credit of the selected bidder, including the pending bills, bank guarantee and security deposit, if any. The Bank will also reserve the right to recover any Advance paid.
- 10.2 All disputes or differences whatsoever arising between the selected vendor and the bank out of or in relation to the construction, meaning and operation or effect of the contract, with the selected bidder, or breach thereof shall be settled amicably. If, however, the parties are not able to resolve any dispute or difference aforementioned amicably, the same shall be settled by arbitration in accordance with the Rules of Arbitration of the Indian Council of Arbitration - Indian Arbitration and Conciliation Act, 1996 and the award made in pursuance thereof shall be binding on the parties. The Arbitrator/Arbitrators shall give a reasoned award. A maximum of three arbitrators may be appointed in the arbitration panel.
- 10.3 Work under the Contract shall be continued by the selected vendor during the arbitration proceedings unless otherwise directed in writing by the Bank or unless the matter is such that the works cannot possibly be

continued until the decision of the arbitrator or of the umpire, as the case may be, is obtained. The venue of the arbitration shall be at Kochi, Kerala State, India.

-----[End of Main Document] -----

**ANNEXURE 1: Vendor Responsibility and Scope of Work (SOW)**

(Deviations if any, should be properly mentioned in ‘Remarks’ column.)

<b>ISO 27001 Consultancy and Certification</b>			
<b>Sl. No</b>	<b>Scope Item</b>	<b>Compliance (Yes/No)</b>	<b>Remarks</b>
Note: All the below listed scope items should be carried out by the vendor during the three years of engagement.			
<b>Process understanding and Creation/Updation of Information Security Documents</b>			
1	Confirm project execution/engagement approach and identify stakeholders for various activities along with CISO team.		
2	To achieve and maintain ISO 27001 accreditation, the vendor shall select appropriate approach and methodology, prepare and follow project schedule, propose project organization comprising personnel, their roles and responsibilities etc.		
3	Conduct interviews/discussions with identified stakeholders to understand the current process, to identify gaps and implementation challenges of existing documents.		
4	Vendor shall analyze/study the existing technology/operation used by Bank and review the existing Information Security related documents (policies/procedures/registers/SOPs/baseline/SOC documents etc.). This is to ensure alignment between document and operation/processes being carried out.		
5	The vendor shall perform review of the existing policies/procedures/registers/baseline documents/ all other related documents and align with the controls of ISO 27001 standards/ regulatory standards /legal & statutory requirements/ Bank requirements/ RBI Advisories & Circulars/Other regulatory directions/best practices. Wherever improvement/formulating is required, the		

	vendor shall assist the Department in implementing the same.		
6	Identify and recommend practical, implementable, feasible, viable procedural improvements to the existing ISMS framework.		
7	Vendor shall review and update all ISMS registers including Statement of Applicability/Risk Assessment & Treatment Plan (RATP) Register/other registers to align with ISO 27001 standards, current practice followed in Bank and industry best practices. Vendor shall identify measures to minimize internal and external risks as part of review of RATP register.		
8	The vendor shall create, develop and modify/update all the policies, procedures, registers, documents, forms, reports and all other documents required for implementing the ISO 27001 ISMS and applying for re- certification (wherever applicable/required).		
9	Vendor shall ensure that all documents are consistent and should not conflict with each other. Relevant interlinking statements may be used wherever required.		
10	Vendor shall create/develop additional documents if any as required by ISO 27001 standards, knowledge acquired from stakeholders and industry best practices etc.		
11	Vendor shall share the draft of updated documents (existing and new) with respective stakeholders and conduct sessions/workshop to explain changes and to obtain clearance from stakeholders to finalize the documents.		
12	The vendor should ensure that the complete processes and procedures implemented should be in consideration		

	with the ISO 27001 certification requirements.		
13	The vendor shall provide the list of acts, laws and regulations applicable to IT Operations Department, Digital Banking Department and CISO Office.		
14	Vendor shall provide support to conduct Management Review Meeting (MRM) and frame out the MRM report, with actionable items, recommendations etc.		
	<p>Expected deliverables:</p> <ol style="list-style-type: none"> <li>1) Project execution/engagement approach</li> <li>2) Project schedule</li> <li>3) Updation of existing ISMS documents after clearance from respective stakeholders</li> <li>4) Creation of new ISMS documents (if any) after clearance from respective stakeholders</li> <li>5) List of acts, laws and regulations applicable to IT Operations Department, Digital Banking Department and CISO Office</li> <li>6) Support to conduct Management Review Meeting (MRM)</li> </ol>		
<b>Internal Audits/External Certification Audits/Surveillance Audits</b>			
15	The vendor should identify the degree of compliance of existing system with requirements of ISO 27001:2013 standard and conduct training/session for the employees about the conduct of the internal audits/ final certification audit.		
16	The vendor should carry out Internal Audit for all the 3 years of ISO 27001 certification period, atleast 2 times a year and document the findings for all the sections as per the defined scope.		
17	The vendor should send experienced consultants onsite for carrying out pre-audit, audit and post audit related activities		

	of ISO 27001 certification process.		
18	The vendor should suggest corrective and preventive actions for improvements in each audit.		
19	The vendor shall appoint a very reputed, experienced auditor as ISO 27001 certification auditor for the organization. <b>The certification auditor should be appointed with the approval of Bank only.</b>		
20	The vendor shall provide support to close NCs/gaps found during all stages of audits, by way of suggestions, recommendations, actions, documentation etc. and should ensure that all the non-conformities are closed and the organization is ready for the final certification audit and surveillance audit of II and III year.		
21	Comprehensive readiness evaluation exercise to be carried out by vendor to ensure readiness of Bank to face final certification/surveillance audit by Certification Body (CB).		
22	Vendor shall provide all required support for completing all requirements for handover of ISO 27001 certificate by Certification Body.		
23	The vendor shall take care of the certification even though ISO version may get changed during the contract period. The relevant action to recertify against new standards should be carried out such that Bank is able to get re-certified against the new version of ISO 27001.		
24	The vendor shall ensure that the IT Operations Department, Digital Banking Department, CISO Office, DC- Cochin, DR- Bangalore, BCP site -Bangalore of SIB achieve ISO 27001 re-accreditation during the first year of this contract period.		
25	The vendor shall ensure that Bank		

	maintains ISO 27001 accreditation for the above sites during the second and third year of contract period.		
	<p>Expected Deliverables:</p> <ol style="list-style-type: none"> <li>1) Training/session for the employees about the conduct of the internal audits/ final certification audit</li> <li>2) Internal Audit for all the 3 years of ISO 27001 certification period, atleast 2 times a year</li> <li>3) Document the findings of Internal Audit</li> <li>4) Corrective and preventive actions for improvements in each audit</li> <li>5) Necessary support in case ISO version may get changed during the contract period</li> <li>6) Ensuring re-certification during first year of contract period</li> <li>7) Maintaining re-certification during second and third year of contract period</li> </ol>		
<b>Creation of Awareness documents and Awareness Training</b>			
26	Vendor shall provide ISO 27001:2013 clause by clause training/ explanation/ clarification for the ISMS team whenever required. Training shall be provided for the new ISO version in case it is changed during the contract period.		
27	Create presentation and provide training content/material on latest security threats, best practices etc. at least twice a year for providing Information Security awareness among users.		
28	<p>The vendor shall provide Objective Question papers based on Information Security documents, training content/material (MCQs, minimum 150 questions) to conduct on desk assessment. It shall be separate for:</p> <ol style="list-style-type: none"> <li>a) IT Staff &amp; vendors</li> </ol>		

	b) Non IT Staff (i.e. Bank Staff) The material shall be provided for all the years of contract period.		
	Expected Deliverables: 1) ISO 27001:2013 clause by clause training to ISMS team 2) Presentation and training content/material 3) MCQs		

<b>General Requirements</b>			
Sl. No	Scope Item	Compliance (Yes/No)	Remarks
1	The vendor shall provide onsite or hybrid support for carrying out ISO 27001 Consultancy and Certification. In case of hybrid model, a minimum number of vendor representatives have to be stationed onsite for the duration of the project. It shall be ensured that, one or more officer is stationed onsite till completion of the project. The vendor shall be present onsite when the external audit is carried out (for the entire contract period).		
2	The vendor should have at least 4 years of experience carrying out such ISO 27001 audits/consultancy work. Vendor should have audited at least 12 or more organization for ISO 27001. Out of above 12 organizations, at least 3 or more should be Scheduled Banks. Proof to be submitted for the same.		
3	Provide experienced consultants/team members onsite for carrying out ISO 27001 Consultancy and Certification. The Consultant/Internal Auditor/Project Lead should be well-equipped with minimum 5 years' experience and should have required certifications like ISO 27001 LA.		



	The other team members should have ISO 27001 LA/ISO 27001 LI certification with minimum 2 years' experience. The bio-data of team members shall be submitted to Bank.		
4	Conduct knowledge transfer sessions with the information security team and identified stakeholders as and when required.		
5	Conduct review meetings with Banks team as and when required.		
6	The vendor shall absorb all site-visit, travelling, boarding & lodging charges including charges for onsite support and certification auditor's expenses in the total cost submitted.		
7	Necessary clear and specific documentations should be provided in all relevant applicable areas/phases.		
8	Milestone based invoice should be raised only after signoff of milestone completion certificate from Bank.		
9	Compliance to the scope items shall be mentioned in respective column (Yes/No). Mapping details shall be mentioned in 'Remarks' column (Annexure -1 of SIB RFPQ) along with assumptions, if any.		
10	Bank will not allow unnecessary assumptions. Assumptions should be reduced to the barest minimum and any assumptions provided against a clause in the RFPQ or in the scope of work shall be justified clearly. Bank reserves the right to treat such cases as a deviation from the scope.		
11	Due to COVID-19 situation: The onsite resources of the vendor should comply with directions from government/ other related bodies/ Bank including downloading relevant applications, going into quarantine etc.		

**ANNEXURE 2: Format for Commercial Quote**

<b>SI No</b>	<b>Description</b>	<b>Amount (Rs.)</b>
<b>1</b>	Cost on successful completion of first years' internal audits, closure of all internal audit points, ISO 27001 re-certification audit, closure of audit points and receipt of certificate	
<b>2</b>	Cost on successful completion of second years' internal audits, closure of all internal audit points, first surveillance audit, closure of audit points and receipt of certificate	
<b>3</b>	Cost on successful completion third years' internal audits, closure of all internal audit points, second surveillance audit, closure of audit points and receipt of certificate.	
	<b>Total Cost</b>	

**(All taxes/duties extra)**

### **ANNEXURE 3: Format for Technical Quote**

The Bid should contain

- Complete acceptance for scope of work as mentioned in Annexure 1.
- Complete acceptance for payment terms
- Vendor should ensure that hardcopies & softcopies of both the bids are properly numbered as Page \_\_ (current page) of \_\_ (total pages). Further the authorized signatories of the vendor should initial on all pages of the hardcopies of the bids. Both hard copies and soft copies in MS-Word and PDF format are to be submitted. All copies should be exactly same in terms of contents and if there is any difference SIB reserves the right to reject the offer.
- The company profile and the bio-data/details of the manpower to be deployed in the project with resume, past experience of the company in the area of expertise required, other value additions offered without additional cost, project completion schedule, past experience with SIB, post implementation support etc. should be clearly provided.
- Local presence and nature of vendor's support available at each location shall also be provided while evaluating the tenders submitted by the vendors.

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**ANNEXURE 4: VENDOR KYC**

**VENDOR DUE DILIGENCE FORMAT FOR INFORMATION TECHNOLOGY AND COMMUNICATION TECHNOLOGY PRODUCTS, APPLICATIONS AND SERVICES**

1	Name of the Vendor	
2.a	Constitution	Individual <input type="checkbox"/> Sole Proprietorship <input type="checkbox"/> Partnership <input type="checkbox"/> LLP <input type="checkbox"/> Pvt. Ltd. Company <input type="checkbox"/> Public Ltd. Company <input type="checkbox"/> HUF <input type="checkbox"/> Society <input type="checkbox"/> Trust <input type="checkbox"/> Association <input type="checkbox"/> Foundation <input type="checkbox"/>
2.b	If you have undergone any change in the constitution since inception give full information here	Originally established as .....on..... Changed to.....on..... Changed to.....on.....
2.c	Information regarding merging/splitting since inception	
2.d	Group affiliation, if any	
<b>Please attach a "Group Tree" -graphical representation of various concerns in your Group (if applicable)</b>		
3	Address of Main/Registered office with Door No. Street No. and PIN	
4	Address for Correspondence with Door No. Street No. and PIN	

5	Address of manufacturing / development centre with Door No. Street No. and PIN		
6	Address of branches / other offices / units (Please attach a separate list, if necessary)		
7	Telephone Nos.	Mobile Phone Number/s (with name and designation of the contact person)	
8	Email Id	Alternate Email Id	FAX No.
9	Date of Birth/Incorporation		
10	Website URL		
10	Registration No. (eg. CIN)		
11	Date of Commencement of Business		
12	Brief Profile of the Firm / Company(Please attach a separate sheet, if necessary)		
13	Licenses & Registrations		
	a) Registration under shops and commercial Establishment Act with Local Body	No.....Dt.....	
	b) Commercial Tax Registration	TIN No.....Dt.....	
	c) VAT Registration	No.....Dt.....	
	d) Service Tax	No.....Dt.....	

	Registration with Central Excise Department		
	e) Tax Deduction Account Registration (TAN)	No.....Dt.....	
	f) PAN issued by Income Tax Department	No.....Dt.....	
	g) Exim Code	No.....Dt.....	
	h) Registration under Software Technology Park Scheme	No.....Dt.....	
	i) MSME Registration	No.....Dt.....	
14	Details of Quality Certification of products/company		
	ISI / BIS	ISO	
		Any other (please specify)	
15	List of major products*/services /Vertical-wise		
	Product/service	Date of launching	% to Annual Turnover**
			% to Annual Revenue**
	*Please enclose your company's product catalogue with detailed specification of the product/service		
	** Relating to the previous available financials		

15	Financials (Rupees in Millions)		
	Capital	20....-..	20..-..
	Turnover		20..-..
	Net Profit		
	Net worth		



Please provide copies of audited financials for the last 3 years along with the Notice of AGM (For Companies)		
16	Details of Banking Relationship:	
	Name of the Bank and Branch	.....
	Type of Account	Current <input type="checkbox"/> Saving <input type="checkbox"/> OD/ <input type="checkbox"/>
	Account No.	.....
	MICR No.	.....
	IFSC Code	.....
	Account holder (Since)	.....
		.....
		.....
		.....
17	Auditors (Name with address and telephone/mobile numbers)	..... ..... ..... ..... ..... ICAI Membership Registrastion No.....
18	Clientele:	
	List of Major Clients (Attach separate list, if required)	1. Since..... 2. Since..... 3. Since..... 4. Since..... 5. Since.....
<b>Please produce reference from at least two of your major clients</b>		
19	Competitors:	
	Whom do you consider as your near competitors - Product/ service/ industry-wise list	1. 2. 3. 4. 5.
20	Blacklisting:	
	Are your blacklisted ever: Yes No	If Yes Since when 1. Since.....by..... 2. Since.....by.....



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	<input type="checkbox"/> <input type="checkbox"/>	3. Since..... by..... Reason for Blacklisting:
21	<b>Litigation:</b> Please provide a list of major suits filed either pending or settled/closed against you with clients and/or for patent, trade mark, Intellectual property Rights infringements	1. On.....by.....Status..... 2. On.....by.....Status..... 3. On.....by.....Status.....
22	<b>HR</b> a) Number of employees in the scroll b) Key technical personnel (attach separate list, if required) c) Key Managerial Personnel (attach separate list, if required) d) Whether Family concern/Widely held e) Whether professionally managed or conventional	Service >5 Years..... Service >1 <5 Years..... <1 Year.....Outsourced..... ..... ..... ..... ..... ..... ..... ..... ..... ..... .....
23	<b>Insurance</b> Please narrate the details of any Insurance held for	



	client protection	
24	Any other relevant information (Use additional sheets if required)	
25	List of KYC documents furnished	Name:..... ... Proof of ID Type:.....No..... .. Proof of Address Type.....No..... .
		Name:..... .. Proof of ID Type:.....No..... .. Proof of Address Type.....No.
		Name:..... Proof of ID Type:.....No..... .. Proof of Address Type.....No..... .
		Name:..... Proof of ID Type:.....No..... .. Proof of Address Type.....No..... .
		Name:..... Proof of ID Type:.....No..... .. Proof of Address Type.....No..... .



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20	List of other documents submitted	<ol style="list-style-type: none"> <li>1.</li> <li>2.</li> <li>3.</li> <li>4.</li> <li>5.</li> <li>6.</li> </ol>
21	<p>Litigation:</p> <p>Please provide a list of major suits filed either pending or settled/closed against you with clients and/or for patent, trade mark, Intellectual property Rights infringements</p>	<ol style="list-style-type: none"> <li>1. On.....by.....Stat us.....</li> <li>2. On.....by.....Stat us.....</li> <li>3. On.....by.....Stat us.....</li> </ol>

22	<p>HR</p> <p>a) Number of employees in the scroll</p> <p>b) Key technical personnel (attach separate list, if required)</p> <p>c) Key Managerial Personnel (attach separate list, if required)</p> <p>d) Whether Family concern/Widely held</p> <p>e) Whether professionally managed or conventional</p>	<p>Service &gt;5 Years..... Service &gt;1 &lt;5 Years.....</p> <p>&lt;1 Year.....Outsourced.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p>
23	<p>Insurance</p> <p>Please narrate the details of any Insurance held for client protection</p>	



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24	Any other relevant information (Use additional sheets if required)	
25	List of KYC documents furnished	<p>Name:.....  .....  Proof of ID  Type:.....No.....  .....  Proof of Address  Type.....No.....  .....</p> <hr/> <p>Name:.....  .....  Proof of ID  Type:.....No.....  .....  Proof of Address  Type.....No.....</p> <hr/> <p>Name:.....  .....  Proof of ID  Type:.....No.....  .....  Proof of Address  Type.....No.....  .....</p>
		<p>Name:.....  .....  Proof of ID  Type:.....No.....  .....  Proof of Address  Type.....No.....  .....</p>



26	List of other documents submitted	<ol style="list-style-type: none"> <li>1.</li> <li>2.</li> <li>3.</li> <li>4.</li> <li>5.</li> <li>6.</li> </ol>
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I.....s/o.....

.....residing  
at....., in my capacity as the ..... of

.....do hereby solemnly affirm and declare that the particulars furnished in this due diligence format is true and correct to the best of my knowledge and belief. I also declare that I have not withheld any material information that is relevant and known to me regarding the firm/Company at the time of signing this document.

I/We also confirm that I have gone through the Vendor Security Baseline document of the Bank and confirm that I/We shall adhere to such policy, as applicable in the context, in terms of RBI Guidelines.

I/We hereby authorize the Bank to obtain opinion on me/us directly from our Bankers.

I/We hereby undertake to abide by the Non-disclosure policy of the Bank and shall execute the Non-disclosure agreement, when asked by the Bank to do so.

I/We also agree that I shall allow the Bank to conduct an onsite IS audit on us either by the Bank personnel or by a duly appointed IS auditor by the Bank, if required by the Bank.

I/We also agree to the Bank to set the standards and criteria for the outsourced personnel both at the development and maintenance and also agree to the Bank for surveillance of the production facilities and the personnel engaged in the work with the help of surveillance cameras installed and monitored either on site or at remote location. **(Applicable for outsourcing tasks etc. with data/materials owned by the Bank)**

Place: .....

Date :.....

Authorised Signatory

### Guidelines regarding requirements of KYC documents

Individual	Provide photograph, 1 ID Proof, 1 Address Proof and Copy of PAN Card/PAN Card forwarding letter
Sole proprietorship :	Provide photograph, 1 ID Proof, 1 Address Proof and Copy of PAN Card/PAN allotment letter and profile of the Proprietor
	Provide ID Proof and Address proof of the Proprietorship firm
Partnership	Provide photograph, 1 ID Proof, 1 Address Proof and Copy of PAN Card/PAN allotment letter and a profile of all the Partners
	Provide copies of Partnership deed, Partnership Registration certificate (if registered), 1 Address proof of the firm
LLP	Provide photograph, 1 ID Proof, 1 Address Proof and Copy of PAN Card/PAN Card forwarding letter of all the Partners
	Provide copies of LLP agreement and Certificate of Incorporation

Ltd. Company	Provide Photograph, 1 ID Proof, 1 Address Proof and Copy of PAN Card/PAN Card allotment letter, DIN and profile of all the directors and all executives/mandate holders who will be signing various documents while dealing with the Bank.
	Provide copies of MOA, AOA, Certificate of Incorporation, Certificate of Commencement of Business(only for public Ltd. Co), CIN, PAN and address proof of the Company.
	Copies of Mandate/POA issue to the executives/mandate holders who will be signing various documents while dealing with the Bank.
Society/Trust etc.	Provide photograph, 1 ID Proof, 1 Address Proof and Copy of PAN Card/PAN Card allotment letter and profile of all the Signatories/Mandate holder
	Copies of Registration Deed, Bye-laws, List of Managing Committee

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