

# **BID DOCUMENT**

Selection of Auditing Firm for

## **Data Migration Audit**

**BADAUN ZILA SAHKARI BANK LTD., BADAUN**

Address – Station Road, Civil Lines, Badaun

**Last date for Online Submission: 03 May 2024 upto 01:00 PM**

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## **Schedule of Events**

S.N.	<b>Bid invitation for Selection of Data Migration Audit</b>		
1	Purpose	Data Migration Audit	
2	Last Date and Time of Submission		
3	Venue, Date and Time of Opening of Bids	Head office of Badaun Zila Sahkari Bank Ltd. Badaun Date 03-05-2024 Time 01:00pm	
4	Bid Validity	Three Months from the time of the Bid Closes on the Deadline.	
5	Address for submission	Station Road, Civil Lines, Badaun	
6	<b>Contact Person Details:</b>		
	Name & Designation	Phone	Email
	JAY NARAYAN	8218376165	dcb.badaun@gmail.com

### **1. General Information**

- I. The Tender Document is uploaded on GeM e-Portal. The bank reserves the right to change the requirements. However any such changes will be posted.
- II. Bidders are advised to study the BID document carefully. Submission of bids shall be deemed to have been done after careful study and examination of the BID document with full understanding of its implications.
- III. In case of any clarification required by the bank to assist in the examination, evaluation and comparison of bids, the Bank may, at its discretion, ask the bidder for clarification. The response/clarifications shall be in writing and no change in the price of substance of the bid shall be sought, bided or permitted.
- IV. Bids once submitted will be treated as final and no further correspondence will be entertained.
- V. The bank may, in its absolute discretion, engage in discussion or negotiate with any respondent (or simultaneously with more than one respondent) after bid closes to improve clarify and responses. The bank has also the right to reject any or all Bids received without assigning any reason whatsoever.
- VI. The bank shall not be responsible for non-receipt/nodelivery of the bid documents due to any reason, whatsoever.

## **2. Introduction**

### **2.1 Purpose of Tender Document**

The purpose of inviting Tender is to select the Auditing Firm/Vendor to carry out the Data Migration Audit of Bank Branches and Head Office. At present there are 21 branches & Head Office operating at various locations of district Budaun and Sambhal. Head Office is located at Station Road, Civil Lines, Budaun. The Core Data Centre of the bank is functioning from the Data Centre of UP Cooperative Bank Ltd., Lucknow, situated at its Head Office, 2-Mahatma Gandhi Marg, Lucknow. The Data Migration Auditor will conduct & perform the auditing work as per Accounting standard & Auditing norms, RBI and NABARD Guidelines. The broad scope of work is given below:

#### **Data Migration Audit—Scope of Work and deliverables**

The Data Migration auditors will require concentrating on the following areas to ensure accurate mapping and migration has been done:-

##### **A) Review of Data Migration Process:-**

- i. Review the data migration strategy document
- ii. Perform a walk through of the data migration process at the data center
- iii. Identify the gaps in the data migration process followed
- iv. Suggest suitable recommendations to bridge the gaps

##### **B) Data Migration validation: This includes:-**

- i) Identify the fields to be validated for each of the upload files
- ii) Develop a mechanism to validate:
  - The data uploaded from the legacy system to the new CBS environment
  - Perform a sample check of the identified fields with the data migrated
  - Generate report on deviation
  - Use automated tool to compare the data uploaded from the Old system to New System

### **2.2 Proposal document submission is required to be done as under:**

- The bidder will have to submit the online bids on GeM e-portal.

The hard copies of the documents uploaded on GeM e-portal duly sealed and signed envelope **super-scribed with "Bids for Data Migration Audit,"** is required to be submitted at Bank's Head Office Station Road, Civil Lines, Budaun on or before the prescribed date and time notified above in this tender document.

- Faxed or emailed copies of any submission are not acceptable and will be rejected by the bank.

### **2.3 Bid Validity Period**

The proposal must remain valid and open for evaluation according to the terms for a period of at least 3 months from the time the Bid closes on the deadline.

## **2.4 Notification**

The bank will notify to the shortlisted vendor/(s) through Bid on GeM portal as soon as practicable possible. Bank is not obliged to provide any reasons for any such acceptance or rejection.

## **2.5 No Legal Relationship**

No binding legal relationship will exist between any of the respondents and bank until execution of a contractual agreement.

## **2.6 Disqualification**

Any form of canvassing / lobbying / influence / query regarding short listing status etc. will be a disqualification.

## **2.7 Cancellation of Contract and Compensation**

The Bank reserves the right to cancel the contract of selected bidder and recover expenditure incurred by the bank on following circumstances:

- The selected bidder commits a breach of any of the terms and conditions of the bid/contract.
- After the award of contract, if the selected bidder does not perform satisfactorily.

## **2.8 Jurisdiction**

The contract with the selected bidder shall be governed in accordance with the laws of India and will be subject to the exclusive jurisdiction of court at Badaun. In case any dispute arises between the bank and the auditing firm, the same shall be settled through arbitration as per the provisions of UP Cooperative Societies Act 1965 and Rule 1968. The decision of the arbitrator shall be binding to both the parties.



## Selection Criteria

### QUALIFICATION/ELIGIBILITY CRITERIA

1. A company registered under Indian Companies Act, 2013 OR A partnership Firm based in Uttar Pradesh
2. Information System Auditor / Information System Audit Firm / company should have CISA certification from ISACA / DISA Certificate/, along with 3 or more years of Data Migration Audit.
3. Audit Firm/Company should not have been blacklisted by any financial institution/ government departments/ other institutions. Further the name of Information System Auditor/ Information System Audit Firm should not have been in the defaulters/ barred/ caution list published at websites of the RBI, IBA, ECGC, SEBIT, CICS etc. Information System Auditor/ Information System Audit Firm should furnish self-attested affidavit on stamp paper in this regard.
4. The minimum average annual financial turnover of the bidder during the last three years, ending on 31<sup>st</sup> March of the previous financial year, should be 1 crore. Documentary evidence in the form of certified Audited Balance Sheets of relevant periods or a certificate from the Chartered Accountant / Cost Accountant indicating the turnover details for the relevant period shall be uploaded with the bid. In case the date of constitution / incorporation of the bidder is less than 3-year-old, the average turnover in respect of the completed financial years after the date of constitution shall be taken into account for this criteria.
5. Years of Past Experience required: The bidder must have experience for number of years as indicated above in bid data sheet (ending month of March prior to the bid opening) of providing similar type of services to any Central / State Govt Organization/ PSU/ Public Listed Company. Copies of relevant contracts / orders to be uploaded along with bid in support of having provided services during each of the financial year.
6. Estimated Bid Value indicated above is being declared solely for the purpose of guidance on EMD amount and for determining the Eligibility Criteria related to Turn Over, Past Performance and Project / Past Experience etc. This has no relevance or bearing on the price to be quoted by the bidders and is also not going to have any impact on bid participation. Also this is not going to be used as criteria in determining reasonableness of quoted prices which would be determined by the buyer based on its own assessment of reasonableness and based on competitive prices received in Bid / RA process.
7. Past Experience of Similar Services: The Bidder must have successfully executed / completed at least one single order of 80 % of the Estimated Bid Value or 2 orders each of 50 % of the Estimated Bid Value or 3 orders each of 40 % of the Estimated Bid Value for similar service(s) in last three years to any Central / State Govt Organization / PSU / Public Listed Company. Copies of contracts / work orders and documentary evidence of successful execution / completion in support of Past Experience of Similar Services along with names, address and contact details of clients shall be uploaded with the bid for verification by the Buyer.



Bidder need to be submit their details with the annexure given below:

PROFORMA-1

**GENERAL INFORMATION ABOUT BIDDING FIRM**

1	Registered Name & Address of the Firm / Bidder with Mobile / Telephone no. (as mentioned in registration certificate)	
2	Postal Address	
3	Year of Formation/ Incorporation	
4	Name, designation, Mobile No. and email address of Contact Person	
5	Sales Tax, Service Tax, PAN Number of the Firm	
6	Mention validity period of your offer (validity should not be less than three months)	
7	State whether the quoted prices are inclusive of all tax and levies	
8	The auditing firm should have CISA certification, in its auditing team. The auditor firm should have partner/director with CISA Certification in its audit team. Mention Name and Qualification of such auditor who shall carry out / lead the migration audit and its experience.	

Signature of Bidder

Name:

Seal

Place:

Date:



□ Selection process will be done according to QCBS (Quality Cum Cost-Based Selection) system and the marking will carry 70:30 (70% of technical and 30% of financial) weightage. Cut off Mark for technical qualification will be 60.

Pre-Qualification Criteria Sr. No.	Eligibility Criteria	Documents to be submitted with this RFP
1	The bidder should be registered legal entity in India.	Provide relevant legal document against the requirement.
2	The Bidder should have a minimum annual average turnover of Rs. 1 Crores as mentioned in the bid document for last three financial years from Indian Operations.	Audited report or Certificate from the Statutory Auditor of the Company.
3	Should have prior experience in performing Data Migration Audit.	Credential letter / experience certificates/copy of purchase order or work order or notification of award/ copy of engagement contract from Cooperative banks. (Bank may verify the same, if Deemed necessary)

The technical bid shall be evaluated as follows:

Sr. No.	Criteria	EvaluationCriteria	Document Required	Total Marks (100)
1	Number of Assignment of Migration Audit	(1) 2 Marks for each assignment Maximum - 50marks	Relevant Purchase Order or Work Experience Certificate	50
2	Turn over from the relevant work	Average turnover in last 3 years Above 1 Cr. 10 marks 50Lacs to 1Cr.5marks Upto 50 Lacs 2.5 marks	Invoice or relevant supporting document.	10
3	CERTIFICATIONS CISA/DISA/CISM	(1)5Marks for each certificate maximum - 15 marks	Relevant Certificates	20
4	Methodology	Methodology to conduct the scope and man power above50- 15 marks Methodology to conduct the scope and manpower Below 50- 10 marks	Organization Details Manpower Details Methodology and Process	20
5	Local Presence	Head office in Lucknow Uttar Pradesh-10 marks Registered Branch office in LucknowUP-5 marks	Proof of Registered Head office/Branch Office	10
<b>TOTAL</b>				<b>100</b>