

Clarification on Pre-bid queries of the Request for Proposal (RFP) for Selection of vendor for conducted a Gap Assessment and compliance with the RBI's Master Directions (Bid Number: GEM/2024/B/4675986 dated 23rd February 2024)

S No	Point / Section	Clarification point as stated in the tender document	Comment/ Suggestion/ Deviation	Bank Response
1	3. Scope of work	Review/ Assessment / Gap Analysis of the existing Outsourcing Policy of the Bank and formulate a comprehensive IT Outsourcing Policy for the Bank in compliance with RBI's Master Directions on IT outsourcing.	Whether bidder is expected to do gap assessment of the below mentioned circulars: 1. Master Direction on Information Technology Governance, Risk, Controls and Assurance Practices 2. Master Direction on Outsourcing of Information Technology Services	Yes, Please also refer to the scope of work
2	3. Scope of work	Assessment and Gap Analysis on compliance with RBI's Master Directions on IT Governance, Risk, Controls and Assurance Practices	Does it refer to conducting review and gap analysis of IT policy in line with RBI's Master Directions on IT Governance, Risk, Controls and Assurance Practices?	Please refer to the scope of work
3	3. Scope of work	Review and Amendment of the Bank's existing policies / processes (~ 25) along with standard guidelines and implementation toolkit / framework related to Information Technology (IT), Business Continuity (BC), etc. in line with RBI's Master Directions. The sample list of policies / process / standard guidelines to be reviewed and standardized framework to be defined as under:	Whether only the relevant policies and procedures needs to be reviewed as per the RBI circulars (Outsourcing & GRC) Or the bidder is expected to review entire set of IT policies (~25). Whether the all the required templates related to IT outsourcing is also part of the scope	Yes, Please also refer to the scope of work

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4	3. Scope of work	Preparing Master Agreements/SLAs/Contracts/Agreements in line with the newly formulated RBI IT Outsourcing Policy.	1. Whether bidder is expected to prepare agreement & SLA's for each outsourced vendor or comprehensive based on RBI's IT outsourcing policy to be formulated. OR it has to be prepared on sample vendors only 2. Please specify the number of material IT/ITeS vendors for which the SLA need to be formulated	1. As mentioned in the Scope of work all the existing SLAs need to be reviewed and gaps to be identified. Master SLA agreement to be prepared in line with IT Outsourcing Policy 2. Presently Bank is having ~10 large contracts. However the numbers may change post assessment.
5	3. Scope of work	Verification of existing and in-process/prospective Purchase Orders/Master Agreements/SLAs/Contracts/Agreements with various vendors and Service Providers to identify the applicability of IT Outsourcing Policy.	Please specify the number of material IT/ITeS vendors for which the SLA need to be reviewed	Presently Bank is having ~10 large contracts. However the numbers may change post assessment.
6	3. Scope of work	Assessing the existing and prospective Contracts/Service Level Agreements (SLAs) with various Service Providers on applicability of new directions to identify the material contracts that would come under the purview of the RBI Master Direction.	1. What is the expectation from the bidder 2. Please specify the number of material IT/ITeS vendors for which the SLA need to be assessed	1. As mentioned in the Scope of work identification of material contract to be done by the prospective bidder. Further, all the SLAs need to be reviewed and master SLA agreement to be prepared in line with IT Outsourcing Policy 2. Presently Bank is having ~10 large contracts. However the numbers may change post assessment.

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7	3. Scope of work	Prepare a Standardized Framework/Checklist/SOP for onboarding Service Provider on outsourcing of IT Services either through Tender Process or Direct Contracting by incorporating risk profiling, vendor risk management, contract selection framework, materiality template, exit process framework, cloud adoption and controls checklist.	<ol style="list-style-type: none"> 1. What is the expectation from the bidder 2. Whether bidder is expected to prepare the checklist/templates for IT onboarding checklist? 	<ol style="list-style-type: none"> 1. As mentioned in the Scope of work a standardized framework needs to be prepared with checklist and SOPs 2. Yes checklist/framework/toolkit/SOPs needs to be prepared
8	3. Scope of work	Assess the current state of the present setup, its engagement with relevant Third-Party Service Providers, and interdependencies. Guide the bank in recognizing Third-Party Service Providers who are a part and not part of the IT outsourcing policy.	<ol style="list-style-type: none"> 1. Please specify the number of material IT/ITeS vendors which needs to be assessed. 2. Whether onsite visit of the each vendor location is also need to be covered 3. Whether bifurcation on IT/NON-IT vendors and materiality of the vendors to be carried out or bank will do the activity. 	<ol style="list-style-type: none"> 1. Presently Bank is having ~10 large contracts. However the numbers may change post assessment. 2. No Onsite vendor location is not be covered. 3. Yes identification of materiality to be to be done by the selected bidder
9	3. Scope of work	Assist in mapping the dependencies on third parties and prepare a framework for periodical review. Further do an evaluation in line.	<ol style="list-style-type: none"> 1. Please elaborate what evaluation needs to be done. 2. Also specify for how many material IT/ITeS vendors this needs to be performed for. 	<ol style="list-style-type: none"> 1. Vendor Risk Management Framework needs to be prepared. 2. Presently Bank is having ~10 large contracts. However the numbers may change post assessment.

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10	3. Scope of work	Review and Amendment of the Bank's existing policies / processes (~ 25) along with standard guidelines and implementation toolkit / framework related to Information Technology (IT), Business Continuity (BC), etc. in line with RBI's Master Directions.	Is the review and update limited to the 25 policies mentioned in the scope of work? <u>If yes, could you please share the names of all the policies / processes that needs to reviewed and updated?</u>	Please refer to the scope of work. The above figure is an approximate count and may change as per Bank's requirement. Name of the the policies will be shared to the selected bidder.
11	3. Scope of work	Preparing Master Agreements/SLAs/Contracts/Agreements in line with the newly formulated RBI IT Outsourcing Policy.	Please confirm if scope is limited to assessment and review of the existing/draft Master Agreements /SLAs /Contracts/Agreements and not preparing of actual contractual documents or drafting of Master Agreements/SLAs/Contracts /Agreements in line with the newly formulated RBI IT Outsourcing Policy is also to be considered. If to be drafted, could you provide an <u>approximate count</u> of the sample Master Agreements/Contract/Agreements that needs to be prepared?	Please refer to the scope of work, a template of master draft agreement/SLAs/Contracts to be prepared in line with RBI Master Directions. Presently Bank is having ~10 large contracts. However, the numbers may change post-assessment.

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12	3. Scope of work	<p>Verification of existing and in-process/prospective Purchase Orders/Master Agreements/SLAs/Contracts/Agreements with various vendors and Service Providers to identify the applicability of IT Outsourcing Policy</p> <p>Assessing the existing and prospective Contracts / SLAs with various Service Providers on applicability of new directions to identify the material contracts that would come under the purview of the RBI Master Direction</p>	<p>Could you provide an <u>approximate count</u> of in-process/ prospective Purchase Orders/Master Agreements/SLAs/Contracts/Agreements that needs to be verified in order to ensure their alignment with the IT Outsourcing Policy?</p>	<p>Please refer to the scope of work. Presently Bank is having ~10 large contracts. However the numbers may change post assessment.</p>
13	3. Scope of work	<p>Assist in mapping the dependencies on third parties and prepare a framework for periodical review. Further do an evaluation in line.</p>	<p>Could you please confirm if this point refers to evaluation and selection of third party during pre-onboarding phase?</p>	<p>An evaluation framework covering pre onboarding to the full life cycle is expected from the prospective bidder.</p>
14	3. Scope of work	<p>Amend and reframe the clauses of the Master Agreements/ SLAs/ Contracts/ Agreements, with regards to RBI Master Directions, with various vendors and Service Providers.</p>	<p>We assume that scope is limited to providing standard clauses for the Master Agreements/ SLAs/ Contracts/ Agreements and further it will Bank's responsibility to get it vetted with legal department</p>	<p>Please refer to the scope of work. The prospective bidder is expected to provide standard clauses in line with RBI Master Directions, gap assessment of the existing contracts etc.</p>

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15	3. Scope of work	Compliance and Review	<p>Whether closing the observations identified during the gap assessment is part of the scope (implementation)?</p> <p>Or whether the only the compliance verification is part of the scope if yes, the compliance verification is one time activity or it will have multiple iterations</p>	As mentioned in the scope of work, reviewing of compliance of the gap assessment is expected from the prospective bidder.
16	3. Scope of work	The Bidder needs to consider and envisage all services that would be required in the Scope and ensure that the same is delivered to the Bank. The Bank will not accept any plea of the Bidder at a later date for omission of services on the pretext that the same was not explicitly mentioned in the RFP	We assume that we will be allowed to assess and review the change in scope and subsequently apply for Change Request, if needed post mutual agreement between Bank and Deloitte	No change in the clause.

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17	3. Scope of work	<p>Deliverables:</p> <p>1. Gap Assessment on compliance with RBI Master Directions on a. Outsourcing of Information Technology Services b. IT Governance, Risk, Controls and Assurance Practices</p> <p>2 Assessment / Amendments / Review / Preparation of Standardized Framework for policies, SOPs, Contracts, Agreements, and other deliverables.</p> <p>3 Compliance and Review</p>	<p>Could you please elaborate the Milestone 3 Deliverables which states "compliance and review" since it gets covered under deliverables of Milestone 1 and Milestone 2.</p>	<p>Please refer to the Deliverables clause, the prospective bidder is expected to complete Milestone 1 and Milestone 2 and then there is a cooling period. During this cooling period Bank will do compliance as per the Gap Assessment. Accordingly as per the Milestone 3 Compliance review to be done by the prospective bidder,</p>
18	Annexure 02 – Bid Evaluation Terms Eligibility Criteria - Experience & Support Infrastructure (D-1)	<p>A copy of engagement letter/work order/ letter of award for each assignment to be furnished by the bidder along with Successful completion Certificate or Relevant Credential letters from concerned client/Bank.</p>	<p>Please confirm if engagement letter/ work order along with the invoice to the client/email from the client can be considered for demonstrating successful completion of current/past engagements</p>	<p>Pl. refer the RFP submission documents</p>

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19	Annexure 02 – Bid Evaluation Terms Eligibility Criteria - Experience & Support Infrastructure (D-2)	The Bidder should have prior experience in performing solution IT consultancy for any 3 of the below assignment in Scheduled Commercial Public / Private Sector Bank in last 5 years A. IT Governance Risk Compliance B. IT Strategy C. IT Performance D. IT Outsourcing E. IT Risk Assessment F. BCP Framework / SOPs Only completed project will be considered	We assume that engagements with Schedule Commercial Bank in last 5 years with broader scope of work including listed areas along with other functions, would satisfy the eligibility criteria	As mentioned in the eligibility criteria the broader scope should contain the mentioned activities.

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20	Annexure 02 – Bid Evaluation Terms (B. Technical Bid Evaluation Criteria)	<p>IT consultancy services rendered schedule commercial Banks (minimum 2000 branches) during last -5- years in the domain of:</p> <ol style="list-style-type: none"> 1. IT GRC 2. IT Strategy 3. IT Performance 4. IT Outsourcing 5. IT Risk Assessment 6. BCP Framework / SOPs <p>For Completion of</p> <ol style="list-style-type: none"> 1. All 6 services – 30 marks 2. 4/5 Services – 24 marks 3. 3 Services – 18 marks <p>(Maximum 3 assignments to be considered)</p>	<p>Please elaborate how marks will be calculated?</p> <p>Do we need to submit the PO for each activity? Or 3 PO's consisting all the activities?</p>	<p>The Bid evaluation criteria is already clarified i.e, For Completion of</p> <ol style="list-style-type: none"> 1. All 6 services – 30 marks 2. 4/5 Services – 24 marks 3. 3 Services – 18 marks <p>(Maximum 3 assignments to be considered)</p> <p>Yes Single PO containing multiple activities also will be considered.</p>

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21	Annexure 02 – Bid Evaluation Terms (B. Technical Bid Evaluation Criteria)	<p>a. Gap Assessments conducted on RBI Master Directions regarding IT Governance, Risk, Controls, and Assurance Practices in any schedule commercial Bank</p> <p>b. Gap Assessment for IT Outsourcing Policy in any schedule commercial Bank</p> <p>-a. For each completed assignment : 5 marks</p>	<p>The mentioned circulars are 2 different circulars.</p> <p>Do we need to submit the PO for each circular? Or the 2 PO's of b circular will suffice the requirement.</p>	Yes Single PO containing multiple activities also will be considered.
22	Annexure 02 – Bid Evaluation Terms (B. Technical Bid Evaluation Criteria)	Qualified professionals holding CGEIT / CRISC / ISO 27001 / ISO 22301 Certification, expertise in Gap Analysis, Risk Assessment, and IT Outsourcing domains, or equivalent certified personnel, must be employed full-time by the Bidder	Do the professionals need to be of ISO22301:2019 standard or earlier certifications will be counted? Similarly for ISO27001	Yes earlier certifications to be considered

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23	Annexure 02 – Bid Evaluation Terms (B. Technical Bid Evaluation Criteria)	<p>Essential Resources and Expertise Needed: Qualified professionals holding CGEIT / CRISC / ISO 27001 / ISO 22301 Certification, expertise in Gap Analysis, Risk Assessment, and IT Outsourcing domains, or equivalent certified personnel, must be employed full-time by the Bidder</p> <p>25- 50 Employees – 5 marks 50 – 100 Employees – 10 marks 100 > Employees – 15 marks</p>	<p>Do we need to provide the certification details of 100 employees? Or Self-declaration from HC team of 100 employees and sample certification details of 20-30 employees will suffice the requirement.</p>	<p>Yes Self-Declaration will be considered. However Bank can ask for evidence during eligibility / technical evaluation.</p>
24	Scope	NA	<p>As per the RFP there is no deliverable on the RBI's master direction on IT GRC & Assurance apart from the GAP analysis.</p> <p>Is the understanding correct or bidder needs to create the policies/process as per the IT GRC Scope also.</p>	<p>Please refer to the scope of work and deliverables.</p>
25	Scope	NA	<p>We assume that designated SPOC's from bank will be identified to get an approval from the Board of the reviewed policies, SOPs, etc.</p>	<p>Not part of the scope of RFP</p>
26	Scope	NA	<p>Please confirm if the SoW in the RFP is limited to Bank of Baroda or it includes its affiliates / group entities</p>	<p>RFP is limited to Bank of Baroda</p>

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27	Scope	NA	Does the Bank currently have an IT outsourcing framework in place?	Please refer to the scope of work we have mentioned policies/framework to be prepared as per RBI Master Directions
28	Scope	NA	Do you maintain an up-to-date inventory of your vendors? Please provide the total count of vendors in the system	Not part of the scope of RFP Presently Bank is having ~10 large contracts. However the numbers may change post assessment.
29	Scope	NA	Do we also need to look at Financial/Other outsourcing, or is the scope limited to IT outsourcing? If yes, then which other circulars are to be covered?	Yes, as mentioned in the scope the same is limited to IT Outsourcing as mentioned in the RBI Master Directions. We have mentioned the policies where Gap Assessment is required.
30	Scope	NA	Do we need to perform Inherent Risk Assessments/Materiality Assessments? Outsourcing Identification Assessments? Or do we only need to create the templates/checklists for the same?	Please refer to the clause "Assessing the existing and prospective Contracts/Service Level Agreements (SLAs) with various Service Providers on applicability of new directions to identify the material contracts that would come under the purview of the RBI Master Direction" wherein we have mentioned clearly the requirements

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31	Scope	NA	Do we need to create checklist of contractual clauses mentioned in the RBI MD on IT outsourcing?	Yes also refer to the scope of the work for detailed understanding of the requirement
32	Scope	NA	Do we need to review any vendor contracts/SLAs? If yes, how many?	Yes also refer to the scope of the work for detailed understanding of the requirement. Presently Bank is having ~10 large contracts. However the numbers may change post assessment.