

Pre-bid queries response for Request for Proposal (RFP) for Selection of Third Party Auditor for "State Data Centre" project
Revised last date for submission of bid is 27 Mar 2017 upto 3 PM.

| Sr. No | RFP Document Reference(s) (Section & Page Numbered(s)) | Content of RFP requiring Clarification(s) | Points of clarification | Response |
|--------|---|--|---|--|
| 1 | 2.2 Background - Project: State Data Centre (SDC): Project Profile Page No. 6 | Tendering authority on behalf of Department of Governance, Government of Punjab intends to select an agency for third party auditing of the working of data Centre operators of its state data Centre at Mohali. | We understand TPA scope of work include audit of only one Data center operator for Punjab SDC. Kindly confirm if other wise, as TPA RFP mentions 'Data center operators '? | Modified as Tendering authority on behalf of Department of Governance, Government of Punjab intends to select an agency for third party auditing of the working of data Centre operator of State Data Centre at Mohali. |
| 2 | Section 2.2.1 point d page 7 | d. To perform user satisfaction survey among the departmental users of the SDC services. | User satisfaction survey has to be conducted by service provider / DCO as a part of ISO 20000 standard requirements against the services being provided by them to user departments. SDC TPA as a part of SDC's Operations & Management audit is required to verify whether same was done or not. Hence TPA role should be to verify the conduct of survey by DCO, instead of conducting survey by TPA itself. Kindly modify / remove this clause of RFP. | Modified as d. To perform user satisfaction survey among the departmental users of the SDC services at Chandigarh / Mohali only. |
| 3 | Section 2.2.1 point e Page 7 | e. To ensure preparedness of state for business continuity, disaster recovery. | As per our understanding TPA role is to verify if the Business continuity and disaster recovery processes are defined, documented, approved and effectively implemented at SDC. To ensure preparedness of state for business continuity, disaster recovery, provisioning of DR site, infrastructure, policies and plans (e.g. BCP) would be required, which is beyond TPA scope and purview. Though TPA as a part of security audit would review the BCP and DR processes implemented at SDC. We request PSeGS to kindly elaborate / provide more details of expectations from TPA here if otherwise OR modify / remove this clause. | Modified as e. To review and ensure preparedness of state for business continuity, disaster recovery. |
| 4 | Section 2.2.1 point g - Page 7 | i. To assist the department/ PSeGS and DCO for ISO 27001 certifications | We understand under this clause TPA is expected to highlight the shortcomings in documentations prepared by DCO, gaps in implementation of ISO 27001 policies and procedures; and further recommend the improvement areas if any to achieve ISO 27001 certification. Kindly clarify if otherwise. | To assist the department/ PSeGS and DCO in achieving ISO 27001 certifications |
| 5 | 2.3 Invitation Page No.7 | 2.3.1 Through this Request for Proposal (RFP), it is intended to invite Proposals for selecting a Third party Auditor (TPA) for Performance Monitoring, SLA monitoring, Security and compliance audits, Invoices/bills verification, exit management of State Data Centre project for a period of five years. | This clause of RFP states, selection of TPA for a period of five years period whereas rest of the sections states five and a half year period. Kindly clarify. | Modified as 2.3.1 Through this Request for Proposal (RFP), it is intended to invite Proposals for selecting a Third party Auditor (TPA) for Performance Monitoring, SLA monitoring, Security and compliance audits, Invoices/bills verification, exit management of State Data Centre project for a period of five and half years. |

| | | | | |
|----|---|--|---|--|
| 6 | 3.3 General Page - 9 | 3.3.1 While every effort has been made to provide comprehensive and accurate background information and requirements and specifications, Bidders must form their own conclusions about the support required to maintain and manage network . | Kindly clarify which network is referred in this clause. | Modified as 3.3.1 While every effort has been made to provide comprehensive and accurate background information and requirements and specifications, Bidders must form their own conclusions about the support required to <u>audit the SDC Operations.</u> |
| 7 | 3.20 Formats & Contents of Bids 3.20.2 Pre-qualification Criteria : Sr. No. 4 - Experience Page no.16 | For details of Experience of responding firm/ Project Citation supported with Work order and Proof of Project completion certificates from client | We request to modify the Supporting requirement as follows: 'For details of Experience of responding firm/ Project Citation supported with Work order/ LOI/ Agreement/ Proof of Project completion certificates from client | Modified as For details of Experience of responding firm/ Project Citation supported with Work order / Proof of Project completion certificates from client / <u>Agreement Copy along with latest 3 Invoices.</u> |
| 8 | 3.20 Formats & Contents of Bids 3.20.2 Pre-qualification Criteria : Sr. No. 5 - manpower Strength Page no.16 | The Bidder must have a minimum 35 number of qualified staff in the domain of Information Technology specifically in the areas of IT Audit/ Data Centre audit/ IT Infrastructure SLA audit & monitoring for IT related projects including IT infrastructure, IT security, etc. as on 31st March, 2016 on its roll. | We understand PSeGS through this PQ criteria intends to ascertain the technical manpower strength of bidder so that the bidder can effectively deliver SDC TPA project services. Hence bidders technical capability on current date would be more meaningful for this purpose. Considering this, we request PSeGS to kindly revise this clause to as follows: "The Bidder must have a minimum 35 number of qualified staff in the domain of Information Technology specifically in the areas of IT Audit/ Data Centre audit/ IT Infrastructure SLA audit & monitoring for IT related projects including IT infrastructure, IT security, etc. as on bid submission date on its roll." | Modified as The Bidder must have a minimum 35 number of qualified staff in the domain of Information Technology specifically in the areas of IT Audit/ Data Centre audit/ IT Infrastructure SLA audit & monitoring for IT related projects including IT infrastructure, IT security, etc. as on <u>28 Feb 2017</u> on its roll. |
| 9 | 3.20.3 Technical Proposal Criteria Page No. 17 | The complete project requirements have been elaborated in this RFP. In line with this, Technical proposal should comprehensively indicate each of the following (in the order given below): a. Format for Technical Proposal: Form-3 b. Approach and Methodology of the Project including: a. Strategy for Implementation of Project (Detailed Supporting document) b. Operational methodology (Detailed Supporting document) c. Security Audit methodology (Detailed Supporting document) d. Methodology of associated risks / problems and plans for mitigation (Detailed Supporting document) | Since this is an IT audit project and not an implementation project, strategy for project implementation and operational methodology may not be relevant to TPA project. TPA approach and methodology should be evaluated for Infrastructure audit, Operations and Management audit, SLA audit and Security audit, which are relevant areas as per scope of work and deliverables under this RFP. Kindly consider adding Infrastructure audit, SLA audit, O&M audit to this clause and remove strategy for implementation of project and operational methodology. Else kindly clarify what supporting documents would be required for following areas : a. Strategy for Implementation of Project b. Operational methodology | Modified as The complete project requirements have been elaborated in this RFP. In line with this, Technical proposal should comprehensively indicate each of the following (in the order given below): a. Format for Technical Proposal: Form-3 b. Approach and Methodology of the assignment including: <u>i. monitoring and measuring SLAs</u> <u>ii. Business Continuity and Disaster Recovery</u> <u>iii. Security Audit</u> <u>iv. Associated risks / problems and plans for mitigation</u> <u>v. Procedure for exit management</u> |
| 10 | 3.20.5 Detailed Breakup of Technical Marks is as below:- Page No. 18 Bidder Profile (Total Marks = 30) Sr. No. A | Average Annual Sales Turnover should be INR 5.00 Crores or more generated from services related to IT Audit services during the last three (3) financial years as of 31st March 2016. | In order to align this requirement to PQ requirement, we request PSeGS to kindly revise this clause to as follows: "Average Annual Sales Turnover should be INR 5.00 Crores or more generated from services related to consultancy/ IT Audit services during the last three (3) financial years as of 31st March 2016." | Average Annual Sales Turnover should be INR 5.00 Crores or more generated from services related to <u>Consulting</u> / IT Audit services during the last three (3) financial years as of 31st March 2016 |

| | | | | |
|----|---|---|--|---|
| 11 | 3.20.5 Detailed Breakup of Technical Marks is as below:- Page No. 18 Bidder Profile (Total Marks = 30) Sr. No. B and C | B. The Bidder must have minimum 35 Security Auditors (BE/B Tech/ MCA/ BSc) on its role as on 31st Dec, 2016. C. The Bidder must have minimum 10 Security Auditors with CISSP/CISA/CISM certifications on its rolls as on 31/12/2016. | We request PSeGS to consider the technical manpower available with bidder on current date (i.e. bid submission date). Hence we request to revise this clause to as follows: "B. The Bidder must have minimum 35 Security Auditors (BE/B Tech/ MCA/ BSc) on its role as on bid submission date. C. The Bidder must have minimum 10 Security Auditors with CISSP/CISA/CISM certifications on its rolls as on bid submission date." | B. The Bidder must have minimum 35 <u>personal IT Audit/ Data Centre audit / SLA audit & monitoring for IT related projects including IT infrastructure, IT security</u> (BE/B Tech/ MCA/ BSc) on its role as on <u>28 Feb 2017</u> . C. The Bidder must have minimum 10 Security Auditors with CISSP/ CISA/ CISM certifications on its rolls as on <u>28 Feb 2017</u> . |
| 12 | 3.20.5 Detailed Breakup of Technical Marks is as below:- Adequacy and Quality of Resources proposed for Deployment and page 19 | Senior Consultant Overall 10 years Experience in consulting and Auditing (Minimum Essential Requirement is 4 years for SDC) | 10 years experience for a senior consultant is too high for SDC TPA project. We request PSeGS to kindly revise the overall experience for senior consultant to 6 years. | Modified as Senior Consultant Overall <u>6</u> years Experience in consulting and Auditing (Minimum Essential Requirement is 3 years for SDC / <u>DC</u>) The marking will be as follows <u>More than 5 years - 6</u> <u>More than 3 upto 5 years - 4</u> |
| 13 | 4.10.2 Deliverable Timelines Page No. 28 | 1. Delay in deliverables - i. INR 5000 per day upto 7 days ii. 1% of the QGR delay more than 7 days upto 21 days iii. 2% of the QGR for delay more than 21 days. | Penalty amount on delays are very high and harsh on bidder. Kindly revise the penalty clause to as follows: i. INR 2000 per day upto 7 days ii. .5% of the QGR delay more than 7 days upto 21 days iii. 1% of the QGR for delay more than 21 days. | 1. Delay in deliverables - i. INR <u>2000</u> per day upto 7 days ii. <u>2%</u> of the QGR delay more than 7 days upto 21 days iii. <u>4%</u> of the QGR for delay more than 21 days. |
| 14 | 4.10.3 Manpower deployment Sr. No. 2 - Page No. 29 | - Substitution of resources from those whose CVs Provided during the technical evaluation -Replacement of resources | We request PSeGS to kindly relax / exclude penalty for reasons beyond bidder's control. These reasons include- " Cases of resource replacement due to death, injury, illness, medical incapacity, among others, otherwise becoming unfit to continue as resource owing to deficiency in delivery of services or owing to any resource leaving the employment of the Bidder." As these are the reasons beyond a bidder's control and hence bidder should not be penalized for these reasons. Apart these reasons, if bidder replace any resource, then penalty should be imposed. | - Substitution of resources from those whose CVs Provided during the technical evaluation -Replacement of resources (except in case of death, medical incapacity) |
| 15 | 6. Scope of Work (SOW) of TPA for State Data Centre Project 5. Security and compliance Audit Page No. 37 | TPA shall conduct Internal Audits of ISMS as per the requirements of ISO 27001 and conduct internal audits for Security. | Internal Audit is generally conducted by DCO's own team or client's team. TPA as an independent / third party auditor should be required to conduct third party audit, not internal audit. Hence kindly revise this clause to as follows: "TPA shall conduct ISMS audit as per the requirements of ISO 27001 and highlight gaps if any, observed during audit." | Modified as TPA shall conduct ISMS <u>audit</u> as per the requirements of ISO 27001 and highlight gaps if any observed during audit. |

| | | | | |
|----|--|--|--|--|
| 16 | 6. Scope of Work (SOW) of TPA for State Data Centre Project B. Application Profiling : Page No. 38 | B. Application Profiling : The TPA has to provide services of experts for profiling the source code of applications developed in .NET and Java platform. The services shall be hired on case to case basis. | Please clarify: - How the payments will be made to TPA for source code of applications. Will it be per application based or lump sum, please clarify. - Please confirm total number of applications to be covered by TPA during the contract duration. - Application profiling is a separate domain and require dedicated SME (apart 2 onsite TPA resources) for this work. Please confirm if PSeGS would pay an extra amount for application profiling. | Modified as In case of application profiling, <u>the manpower rates have been taken in price bid proforma as optional item and it will NOT be part of QCBS evaluation.</u> Note - The cost of application profiling will be arrived at the time of such requirement on the basis of effort estimation to be mutually decided by PSeGS and the selected bidder. |
| 17 | 3) Project Deliverables, Milestones & Time Schedule Sr. No. 3 Page No. 40 | Operations and Management Process and control - Quarterly (Within 15 days from the end of respective quarter). | We request to keep the frequency of Operations and Management Process and control audit to half yearly instead of quarterly. As after every audit, DCO, Composite team and SIA would also require time to analyze and plan closure of reported observations / gaps. Too frequent O&M audits would potentially lead to DCO over occupied with audit activities and having less time to actually work on closure of reported gaps. Since TPA will be continuously monitoring of closure of reported gaps for previous O&M audit, the frequency of this audit should be kept as Half yearly as advised by DeitY, Gol in their RFP for SDC TPA . | Modified as Operations and Management Process and control - <u>Half Yearly</u> (Within 15 days from the end of respective quarter). |
| 18 | 6.2.1 Security Audit: Page No. 43 | a. Vulnerability in the network and State Network Centre (SNC). b. Penetration testing for the security devices in POP's and SNC. | Kindly confirm which SNC and PoP is being referred here. | Modified as a. Vulnerability in the State Data Centre. b. Penetration testing for the security devices in State Data Centre. |
| 19 | 7.2 Other Roles & Responsibilities of the TPA (apart from mentioned in earlier part of RFP) Page 46 | 7.2.11 TPA shall submit separate invoices and required documents/reports etc. for SDC project | kindly clarify Which separate invoices are being referred to here? | Modified as 7.2.11 TPA shall submit separate invoices and required documents/reports etc. for SDC project |
| 20 | 7.2 Other Roles & Responsibilities of the TPA (apart from mentioned in earlier part of RFP) Page 46 | 7.2.12 TPA shall not combine any kind of communication for both the projects. | kindly clarify what is meant by both the projects? | Modified as Para 7.2.12 of RFP stands deleted |
| 21 | 10. 5 Form-2B: Format for furnishing General Information Sr. No. 8 - Networth Page No. 52 | Net worth a) 2013-14 b) 2014-15 c) 2015-16 d) Project Name and brief scope e) Start Date f) End Date g) Duration h) Order Value | Please clarify how many project's details would be required here and how these are to be mapped to networth for each year (to be provided by bidder) | Modified as The point mentioned at 5 Form-2B: Format for furnishing General Information Sr. No. 8 - Networth Page No. 52 The below required information stand deleted <u>d) Project Name and brief scope</u> <u>e) Start Date</u> <u>f) End Date</u> <u>g) Duration</u> <u>h) Order Value</u> |

| | | | | |
|----|--|--|---|---|
| 22 | 10. 5 Form-2B: Format for furnishing General Information Sr. No. 9 - Relevant Project Experience Page No. 53 | CA certificate certifying the value of work order shall be provided along with each project. | We request to accept self - certified project credentials for value of work orders instead of CA certificates. | Self Certified by the Authorised Signatory certifying the value of work order shall be provided along with each project. |
| 23 | 8.6 Form-2D: Format for furnishing details regarding relevant past experience | Sr. No. 7 & 8- 7. Cost for Hardware Supply & maintenance services (in Crores) 8. Cost for Turn-key services (in Crores) | Generally TPA, IT Audit or Consultancy services does not require bidder to supply hardware or provide maintenance services. These seems relevant to SI / DCO projects, and not for TPA projects. Similar for Turnkey services. Kindly consider removing these points so that bidder can provide relevant details to PSeGS as a part of bid. | Modified as The points at Sr. No. 7 & 8 of Form-2D stand deleted <u>Sr. No. 7 & 8- 7. Cost for Hardware Supply & maintenance services (in Crores) 8. Cost for Turn-key services (in Crores)</u> |
| 24 | 8.7 Form-2E: Pre-Qualification Checklist Page No. 58 | Sr. No. 1 - RFP Document Fee Documents to be submitted - Demand Draft / Cash Receipt/Online receipt (as the case may be) | | Modified as Sr. No. 1 - RFP Document Fee Documents to be submitted - <u>Online receipt</u> |
| 25 | 8.11 Form-3D: Technical Proposal Checklist | Sr. No. 1 - Strategy for Implementation of Project Documents required - Certificate Document/ Note Covering all requirements as Mentioned | Kindly clarify which certificate is required here. Also, we understand the Strategy of Implementation of Project is something relevant to DC implementation project. But here TPA would not be required to undertake any implementation work. Kindly clarify the expectations form this section. | Revised 3D proforma is enclosed as Annexure 'A' |
| 26 | 8.13 Form-3F: Approach & Methodology | III. Information Security PI+C16an IV. Training & Help Desk support | Approach and methodology for TPA scope of work at this section doesn't match with the one given at section 3.20. Request you to kindly align the same. Basically, Information security plan and Training & Helpdesk support is part of DCO role, hence this should not be a part of TPA approach and mythology. | Modified as Details of Approach and methodology for the following: i. monitoring and measuring SLAs ii. Business Continuity and Disaster Recovery iii. Security Audit iv. Associated risks / problems and plans for mitigation v. Procedure for exit management |
| 27 | Page – 16 Clause – 3.20.2 Table point 1. c | Authentic certificate from the practising fellow member of Institute of Chartered Accountant of India (FCA). | Please modify the clause as: “Authentic certificate from the practicing fellow member of Institute of Chartered Accountant of India (FCA). OR Self-Certification indicating that the Firm is operating for the last 5 years as of 31 Mar 2016.” | Authentic certificate from the practicing fellow member of Institute of Chartered Accountant of India (FCA) |
| 28 | 42 | Senior Consultant Relevant Certification (either of CISSP/CISA/CISM lead Auditor for ISO 27001) | Please modify the clause as: “Relevant Certification (either of CISSP/CISA/CISM/ Lead Auditor for ISO 27001/ ISO 20000-1/ITIL)” | Modified as (either of CISSP/CISA/CISM/ Lead Auditor for ISO 27001/ <u>ISO 20000-1/ITIL</u>) |

| | | | | |
|----|---|---|---|---|
| 29 | Page 18, Point: Relevant Past Experience (A) | More than 4 Projects – 20 Marks 2-4 Projects – 15 Marks 2 Projects – 12 Marks | Request to modify the marking as: 4 Projects or more: 20 Marks 3 Projects: 15 Marks 2 Projects: 12 Marks | Modified as The bidder must have experience of minimum 2 projects SDC / DC Third Party Auditor with total project value not less than 20 Lacs, in last 3 years ending 31/03/2016 6 Projects or more: 30 Marks 3 - 5 Projects: 25 Marks Min 2 Projects: 20 Marks |
| 30 | Section 6.2, Scope of SLAM&M , Page No 42 | b. Monitoring of SLA: | SLA can only be measured at the end of the period defined and not on daily basis. It is suggested that this scope may be modified to include daily monitoring and providing fortnightly exception reports for the major outages encountered. Additionally it should be the responsibility of the DCO to share these reports on daily basis , while TPA shall analyse and provide observation on fortnightly/monthly basis of the major outages if any. | Modified as b. Monitoring of SLA : SLA monitoring exception report - Monthly - Last business day of month |
| 31 | 6.2, 3(a) Page 36 | The TPA would audit the overall Physical and IT infrastructure management processes as per ISO 20000 framework including Monitoring, Maintenance and Management of the entire Data Centre, along with providing Helpdesk services and provide recommendations to the DGR/PSEGS. | Is the TPA required to set-up a Helpdesk or audit the helpdesk operations? | Modified as The TPA would audit the overall Physical and IT infrastructure management processes as per ISO 20000 framework including Monitoring, Maintenance and Management of the entire Data Centre, along with provided Helpdesk services and provide recommendations to the DGR/PSEGS. |
| 32 | 6.2.2 (b), Page 45 | TPA shall analyse the complaint registers/reports from the helpdesk system maintained by PAWAN operator centrally at SNC and at each PoP and their action along with time of call closure. | This seems to be a typo-error. Request to correct it as per SDC TPA requirement. | Modification as The clause 6.2.2. (b), Page 45 stand deleted |
| 33 | 8.14 Form 4: Commercial Bid Format-Summary of Costs Page NO. 67 | 6. The rates of manpower shall also be referred for calculation of any contract extension or penalty imposition during contractual period, if needed. Quoted rates shall be used on pro-rata basis. | Penalty clauses mentioned in this RFP are already very harsh. Please clarify the formula / procedure for calculation of penalty on the basis of manpower rates quoted by bidder in their bids. | Modified as 6. The rates of manpower shall also be referred for calculation of any contract extension. Quoted rates shall be used on pro-rata basis. |
| 34 | Scope of SLA M&M Page No. 41, 42 | b. Monitoring of SLA: c. Measurement of SLA: d. Penalty calculation: e. Downtime Analysis report: | All these deliverables, activities are already covered under the SLA Audit deliverable mentioned in table at page no. 40 of TPA RFP. These activities and deliverable are redundant activities and doesn't seem to add any value to PSeGS. At the same time, will overload 2 TPA resources due to which they might not be able to focus on other key aspects of SDC security. Hence kindly remove these sections / areas from the RFP. Through Master SLA sheet (mentioned at page no. 41) may be kept in TPA scope, as this document will is not redundant and hence will add a value. | Para b,c,d,e page 42-43 stand deleted. |

| | | | | |
|----|--|--|---|---|
| 35 | 3.20 Formats & Contents of Bids 3.20.2 Pre-qualification Criteria : Sr. No. 4 - Experience Page no.16 | The Bidder should have: a. Successfully completed minimum two (02) IT Security audit assignments in last three years ending 31st March 2016 with total audit fees not less than Rs. 1.00 crore. b. Successfully completed minimum two (02) projects as Third party auditor with project duration of three years or more with total | Most of our high value projects are for long term and currently in progress. Few of those are completing this year i.e. in 2017. We request PSeGS to kindly consider projects currently under progress also for this PQ parameter. | Modified as The Bidder should have: a. Successfully completed minimum two (02) projects as Third party auditor including <u>IT Security audit component</u> with project duration of three years or more with total project value not less than Rs 20 Lacs each . |
| 36 | 4.10.3 Manpower Deployment Sr. No. 4 Page 29 | Resources initially deployed are not to be replaced during the tenure of the project. In case resources are replaced, penalties will apply. (a) Senior Consultant I. 1st – 3rd replacement – INR 20000 per replacement II. >= 4th INR 40000 per replacement | We would request PSeGS to kindly allow at least one replacement per year. Though we will try our best to maintain resource consistence, but retaining same resource for five and half year (5 & 1/2) would be extremely challenging for any organization. | Replacement of resources: PSeGS shall not allow any replacement of resources deployed at the time of signing of agreement as per technical bid (except in Case of death, medical incapacity, resignation) during the first year of the project. For the subsequent years, One replacement during the first quarter of the each year shall be allowed subject to approval from PSeGS. In case resources are replaced more than once per year (except in case of death, medical incapacity, resignation), penalties will be applicable as below. (a) Senior Consultant I. 50,000 per replacement (b) Consultant I. 30,000 per replacement |

8.11 Form-3D: Technical Proposal Checklist

(The Technical proposal should comprise of the following basic requirements. The documents mentioned in this compliance sheet along with this form, needs to be a part of the Technical proposal)

| S. No. | Specific Requirements | Documents Required | Compliance | Reference & Page Number |
|--------|--|---|------------|-------------------------|
| 1. | Operational methodology | Document/ Note covering all requirements as mentioned | Yes/No | |
| 2. | Plan for meeting the SLA norms | Document/ Note covering all requirements as mentioned | Yes/No | |
| 3. | Highlight the associated risks / problems and plans for mitigation | Form-3C | Yes/No | |
| 4. | Quality Assurance Plan of Manpower, Service Delivery etc. | Document/Note Covering all requirements as mentioned | Yes/No | |
| 5. | Declaration with Requirement of RFP requirements | Form-3 | Yes/No | |
| 11. | Undertaking to comply with Technical requirement specification | Form-3B | Yes/No | |