THE DISTRICT CO-OPERATIVE CENTRAL BANK Ltd., <u>VIZIANAGARAM-535002</u>

Phone No 08922 226075&224615 Fax 224918

DCCB- VZM

TENDER NOTICE

The District Co-operative Central Bank Ltd., Vizianagaram invites sealed bids from eligible Bidders/Vendors for conduction of Migration Audit of Our Bank for Migration of our CBS from IDA to BaNCS@24. Interested Qualified chartered accountants may download the detailed tender notice from our official website @ www.dccbvizianagaram.com and bidding documents may be submitted through post to our Head office address: **The C.E.O, The District Co-operative Central Bank Ltd., Vizianagaram. D.no. 18-2-9, KASPA, RAJA BAZAR, VIZIANAGARAM - 535002**. Filled in tender forms should be submitted on or before **17.06.2022 by 5:00 PM**. The Application fee of Rs.3,000/- has to be paid by way of Banker's Cheque/Demand Draft in favor of *The District Co-operative Central Bank Ltd., Vizianagaram. Payable at Vizianagaram* should be enclosed with tender form, and also enclose Bid security amount of Rs.10,000/- by way of separate DD (which is refundable for unsuccessful bidder)Bank reserves the right to accept or reject any tender without assigning any reason there for.

Dated: 03.06.2022.   Sd/-

Place: Vizianagaram   Chief Executive Officer

DCCB- VZM

THE DISTRICT CO-OPERATIVE CENTRAL BANK Ltd., <u>VIZIANAGARAM-535002</u>

Phone No 08922 226075&224615 Fax 224918

TENDER NOTICE

The District Co-operative Central Bank Ltd., Vizianagaram invites sealed bids from eligible Bidders/Vendors for conduction of Migration Audit of Our Bank. Interested Qualified chartered accountants may download the detailed tender notice from our official website @ www.dccbvizianagaram.com

Dated: 03.06.2022.   Sd/-

Place: Vizianagaram   Chief Executive Officer

THE DISTRICT CO-OPERATIVE CENTRAL BANK LTD. VIZIANAGARAM

REQUEST FOR PROPOSAL

For Conducting Migration Audit of CBS Intellect Design Arena (IDA) to B@NCS 24 (M/s TCS)

PART 1: INVITATION TO BID

The District Cooperative Central Bank Ltd. Vizianagaram (herein after called the "Bank") proposes to engage a professional Audit Agency for conducting Migration Audit of Intellect Design Arena at Head Office to TCS B@NCS 24.

This Request for Proposal (RFP) is to invite proposals from Bidders (Reputed Professional Audit Agency) for conducting Migration Audit of Intellect Design Arena to TCS B@NCS 24.

The bid should be submitted to the office of The Chief Executive Officer 1ST FLOOR, 18-2-9, KASPA, Raja Bazar, Vizianagaram, Andhra Pradesh, 535002.

For queries and clarification regarding the RFP, please feel free to contact us on the below mentioned address or telephone number or e- mail id.

- Please note that all the information desired needs to be provided. Incomplete proposal will be disqualified.
- A non-refundable bid amount/Bid processing fee of Rs.3,000/- to be paid by means of a demand draft/ pay-order favoring "The District Cooperative Central Bank Ltd. Vizianagaram " payable at Vizianagaram.
- Bid Security Amount of Rs.10,000/- also needs to be submitted (separate DD) which will be returned to all the unsuccessful bidders after evaluation. However same will be returned back to the successful bidder after completion of Migration audit and submission of their Audit report.
- Bank reserves the right to change the dates mentioned in the RFP, the changes shall be communicated separately. Bank reserves right to cancel the bid at any point of time/stage without giving any reasons.

RFP Issuance Date	
Bid document Availability	At the below given address
Last date for requesting any clarification	
Pre-bid meetings for clarifications	At the below given address
Last Date and Time for Receipt of Bids at AP Cooperative Bank (Address as given below)	
Date and time of opening of Technical Bids	
Date and Time of opening of price Bids	Shall be advised separately.
Contact Person & Addressof Communication and submission of bid.	The Chief Executive Officer 1ST FLOOR, 18-2-9, KASPA, Raja Bazar, Vizianagaram, Andhra Pradesh, 535002

Email : dccbvzm@gmail.com

For Technical queries, contact cell no:7680979994
For General queries, contact cell no:9989773054 |

PART 2: DISCLAIMER

The information contained in this Request for Proposal (RFP) document or information provided subsequently to bidder(s) or applicants whether verbally or in documentary form by or on behalf of The District Cooperative Central Bank Ltd. Vizianagaram, is provided to the bidder(s) on the terms and conditions set out in this RFP document and all other terms and conditions subject to which such information is provided.

This RFP is neither an agreement nor an offer and is only an invitation by Bank to the interested parties for submission of bids. The purpose of this RFP is to provide the bidder(s) with information to assist the formulation of their proposals. This RFP does not claim to contain all the information each bidder may require. Each bidder should conduct its own investigations and analysis and should check the accuracy, reliability and completeness of the information in this RFP and where necessary obtain independent advice. Bank makes no representation or warranty and shall incur no liability under any law, statute, rules or regulations as to the accuracy, reliability or completeness of this RFP. Bank may in its absolute discretion, but without being under any obligation to do so, update, amend or supplement the information in this RFP.

PART 3: INSTRUCTIONS FOR BIDDERS (IFB)

A. Application Migration (ERP, Email, CRM, Web Applications):
This involves migration from a legacy application to new-breed applications, from one vendor application to another vendor application or from an application written in an old programming language to a new one.

B. Operating System Migration

OS migration involves migration from one vendor OS to another vendor OS or an upgrade from an old version of OS to another version of the same OS.

C. Database Migration

This includes migrating from one vendor database to another vendor database, from one version of a database e to another version of the same database, or consolidation of different databases into one database.

D. Hardware Migration

Hardware migration includes migration from one server to another server, consolidation of servers, migration from one storage device to anotherdevice, and migration from one network device to another device.

E. Datacentre Migration

Data centre migration includes migration of existing information processing facilities to third party data centres and consolidation of multiple data centres.

F. Service Provider Migration

With new technologies like SaaS (Software as a Service) and cloud computing, almost all the IT activities can be outsourced. In such a scenario, migrating from in-house IT processing facility to a third party or moving from one third party to another third party can be categorized under service provider migration. This technical guide gives the Auditor an overview of the IS migration lifecycle and the activities to be performed in the pre- and post-migration audits. It also deals with procedures for audit of each type of migration even.

Pre-Migration Audit:

Before the commencement of the actual migration event, the management of the enterprise should carry out a pre-migration audit by qualified IS auditors. A pre-migration audit is warranted in case of large scale migration events such as Data Centre migration or ERP migration. Relatively simpler migration events do not generally require this audit.

The pre-migration audit may involve all or any of the following activities, depending upon the particular migration event.

i.   **Infrastructure review**
    Infrastructure review is a must for data centre migration. Before moving the equipment, it is necessary to ensure that the new data centre is completely ready for occupation. It should be complete in all respects with the required infrastructure: power, HVAC (Heating, Ventilating and Air Conditioning) systems, proper electrical and network connectivity. Core infrastructure is the backbone for all applications; its non-availability in the production environment adversely impacts a significant number of operations. It is also essential to carry out final inspections to identify any apparent or likely problems that might crop up after moving into the new location. A walkthrough of the entire program to identify possible barriers to the migration should also be done.

ii.   **Audit of Scripts:**

Scripts are used in database migrations and application migrations. These convert the old database structure to a different structure that fits the parameters of the new application or database and may also assist in populating the data into the new databases. The IS auditor should review these scripts before their actual deployment in the course of the migration event. The review can be done by using a black box or a white box approach.

In the black box approach, the scripts are run on a set of old data. The migration results are then compared with the old data set to find out any discrepancies. The IS auditor should ensure that he selects an appropriate sample size. This approach is also used where third party tools are used for migration. In the white box approach, the auditor does a code review of the scripts that are used for the migration activity. For this, the IS auditor should have programming knowledge of the language that has been used to write the scripts.

iii.   **Load / Stress Tests**:

Load tests are used for database migration, hardware migration, and OS migration. Load / stress tests may also be relevant to applications that check whether the programming has been done efficiently. This type of testing is carried out to ensure that hardware is capable of meeting the desired performance levels for a given workload. The factors that should be tested are whether the new IT environment can (a) handle not only the current load requirements but also the projected requirements, (b) handle peak level processing requirements, (c) take in huge individual data sets for processing, and (d) process the most complex programming requirements of the enterprise. Tools are available for conducting load / stress tests on databases and networks. In some cases, manual stress tests will have to be conducted on the test environment. The IS Auditor may perform stress tests or review the results of the load / stress tests done by the migration team to satisfy himself that the capacity and applicability of the new IT environment is up to the mark.

iv.   **Compatibility Checks:**

While choosing new hardware, operating systems, applications or databases, the IT organization should check inter-compatibility and intra-compatibility of the new systems. The following compatibility checks should be done before the migration event:

• New applications should be compatible with the OS and databases
• New database should be compatible with the OS and application

- New OS should be compatible with the existing hardware

v. **Business Continuity Plan Review:**
Any enterprise which plans a migration should conduct a risk assessment of the migration activity:
a. to identify the risks associated with the migration.
b. to analyse the business impact in case of delayed or failed migration.
c. to prepare the business continuity / back out plan in case of delayed or failed migration.

Auditor should review the Risk Assessment documents and Business Continuity Plans. BCP should cover a ll possible failure actions and plans to face and mitigate risks arising from such failures.

Legal compliance and Checks:
Legal compliance and checks are required in the case of data centre migrations. If data centers are located in an overseas location or away from the current location, they should comply with the local laws. In case of application and database migrations, the Auditor should check whether the required licenses have been obtained. If applications are to be certified / tested before implementation by governing bodies, the auditor should check whether pre-implementation audits have been conducted prior to the migration event.

Post-Migration Audit:

It is highly recommended to engage a qualified information systems auditor to conduct a post-migration plan audit. It should focus on comparing the post-migration results to the original business. The deviations should be identified and measured to determine errors. Feedback should be taken from the key stakeholders and team members. The lessons learned from the migration project can be used to leverage process improvements to enhance future projects. The major post-migration audit steps are discussed below. The appropriateness and scope of these checks may vary from one migration event type to another.

A. Data integrity checks:

Pre-migration and post-migration data sets should be compared for data non-integrity issues. Data integrity checks should check the following data parameters:
i. Raw data integrity
ii. Business rules / configuration rules
iii. Data relations, Data integrity may be checked by using tools or manually by using various techniques like check digits, batch

input totals, etc.

B. <u>Log Analysis for errors and mitigation:</u>

The Information Systems auditor should review the migration logs from data upload / transfer tools to check for errors in data migration. The logs should be verified for successful completion of the data migration as well as for any error messages like data sets getting corrupted or omitted, etc. Configuration and user setting logs should be extracted and compared with those of the earlier systems / applications. If any errors had been noticed by the migration team, the auditor should ask for the action taken report to find out whether the errors were rectified, and also check the mitigation steps taken to minimize the impact of such errors.

C. <u>Performance review:</u>

Post-migration audit should review the performance of the new environment. The performance of the database, servers, applications, operating system, etc. should be compared with the migration objectives as well as the pre- migration environment. Such an analysis assures the management that the migration objectives have been achieved.

<u>Application Migration:</u>

<u>Background:</u>

In a complex business environment, organizations have to keep up with technological advancements. Businesses are constantly upgrading or moving to new state of the art applications written in latest programming languages. Applications may consist of databases, languages and different systems. A seamless migration into the new application environment calls for effective planning and professional support.

<u>Audit Objectives:</u>

A business enterprise carries out an application migration with the objectives that are mentioned below. The IS auditor should take into account these objectives while carrying out an application migration audit:
• Reduction in overall cost

• Increased agility

• Faster processing

• Increased productivity

- Minimum disruption of business continuity

- Easily adaptable system

- Chance to explore new opportunities

- Increased security

Audit Procedure

The IS auditor should consider the following checks for the pre- and post-migration activities:

a) Verify whether a case for migration to the new application has been defined and documented with reasons and expected results.

b) Check whether experts with adequate technical migration knowledge are engaged in the migration activity

c) Check whether a proper migration plan has been prepared and key migration points have been identified. The plan should also include BCP and DR plans

d) Check whether the security requirements are met in the new application

e) Check whether all configurations in the old application have been implemented in the new application

f) Verify whether backup of all the data in the previous application has been created and tested for restoration

g) Verify whether the application has been tested and user acceptance has been received before the actual migration event

h) Check whether the existing hardware is compatible with the new applications, and if not whether suitable procurement plans have been made

i) Check whether the vendor of the new application has provided the company with adequate user and system documentation

j) Check whether data integrity checks have been carried out

Bank Branch Level CBS Migration Audit – Sample Checklist

Sl. No	Control Question	Auditors Comments
1.	Verify the balances from the Trial Balance in Branch GL on the date of migration to the Trial Balance from CBS. The balances may be verified at the GL level and adjusted for regroupings as required.	
2.	Verify Customer Information file (CIF), generation of new account number with old numbers. Whether multiple CIF exists for a single customer? If so whether cleansing has been done prior to migration? Whether CIF's have been created for all the joint account holders? Whether address and all-important data have been input in the system or else kept blank?	
3.	Verify the exception reports (errors/integrity error reports) generated during data migration procedure. Ensure that all the exceptions have been rectified and necessary sign off has been obtained.	
4.	Verify whether the pre-migration and post-migration reports (Trial Balances / General Ledger Balances etc,) have been approved / signed off by the Branch Manager and Officer, along with the personnel from conversion team. Whether these Conversion Reports are preserved after authentication as a permanent record for future reference?	
5.	Select a few balances for all products in CBS (the sample for which audit is being conducted may be used for testing the migration also) and verify the closing balance in the earlier	

	system and ensure that the same has been carried forward to CBS.	
6.	Verify that the break up between principal and interest and the fields like term deposit and category has been correctly retained. In respect of sample selected, ensure that the date of last date of interest credit / accrual has been correctly entered in CBS, and confirm the same by manually computing interest for the same.	
7.	Verify for carryover of individual festival advance / suspense debtors(staff accounts)etc.,	
8.	Verify for the carryover of locker caution deposit of all the lockers account wise. Check whether Reconciliation is in place for the account.	
9.	Whether outstanding OBC's are carried over to CBS system.	
10.	Verify 'Pay orders payable account' of all the outstanding pay orders have been carried over to the new system. Whether the Pay Orders Payable account has been reconciled on the day of conversion? If No, whether the A/C is now balanced? What are the plans of the branch / data center for this account into an automatic reconciliation type, to facilitating control on open entries? Also verify whether the Pay Orders Payable reconciliation, are done monthly after post conversion.	
11.	Verify carryover of Standing Instructions	
12.	Verify whether Stop payment Instructions for SB, Current, CCOD accounts have been migrated to the new CBS	
13.	Whether Interest rates for Deposit Accounts / Loan Accounts have been verified?	

14.	Whether cheque books issued to the account holders are carried over to the system? Also check for Cheque Book records maintained by the Branch prior to conversion.	
15.	Whether the entire Backup of Database upto the data of conversion is taken?	
16.	Whether a certificate is available at the Branch for having checked and authenticated all the Account balances under each Head of Account.	
17.	Whether stop payment instructions for Drafts have been carried over to new system accurately.	
18.	Whether special notes with regard to Lien, Deceased A/c, Stop Payment of cheques, attachment order, Garnishee order etc., have been carried over accurately in the new system.	
19.	Have signatures been scanned for all SB, CDCC accounts? Report the number of accounts for which signature has not been scanned.	

Database Migration Audit – Sample Checklist

Sl.No	Control Question	Auditors Comments
A.	**Pre-Migration Activities**	
1.	Whether appropriate data migration technology has been considered and frozen?	
2.	Has the time frame for the data migration been arrived at?	
3.	Is the migration team adequately staffed and have appropriate experience in migration?	
4.	Have the roles and responsibilities of the migration team members been defined?	
5.	Has a risk assessment or business impact analysis of the data migration project been done?	
6.	Is there a detailed data migration plan in place?	
7.	Does the data migration plan incorporate back out or BCP plan?	
8.	If any third party vendors are involved in the data migration, have they been adequately briefed about the migration activity?	
9.	Whether data mapping has been done between the source and target data?	
10.	Have data migration tools been identified and tested?	
11.	Is there a data quality specification?document to which the final migration results should adhere to?	

12.	Have service level agreements been defined for the migration team members as well as for third party vendors?	
13.	Has the migration been tested in a test environment before the actual migration? Have the results of such tests been recorded?	
14.	Have appropriate data validation techniques been identified?	
15.	Is there a proper plan to decommission the legacy data and legacy hardware?	
B.	**Post Migration Activities**	
16.	Has the change management procedure of the organization been followed for the data migration?	
17.	Have logs of the migration activity been captured and analysed for errors? If any errors were found, has an action taken report been prepared?	
18.	Has the performance of the new database been clocked and compared with the migration objectives?	
19.	Are there signoffs from the business teams for successful migration and decommissioning of the legacy data	
20.	Check whether the database security parameters of the legacy system been transported to the new database.	

BID FORM (Technical)

(To be included in Technical Proposal Envelope)   Date:

The District Co-operative Central Bank Ltd. Vizianagaram
1ST FLOOR,
18-2-9, KASPA, Raja Bazar,
Vizianagaram, Andhra Pradesh, 535002.
Email:ceo_vzm@apcob.org.

Sir,

Proposal for Appointment of Auditors for conducting

 "Migration Audit of CBS Intellect Design Arena (IDA) to B@NCS 24 (M/s TCS) of the Bank"

Having examined the RFP Document, we, the undersigned, offer our Auditing Services for
_____
in conformity with the requirements mentioned in said RFP documents.

We undertake, if our bid/ Proposal is accepted, to carry out the work as per the scope of work, deliverables and in accordance with the time frames specified in the RFP document as well as on the payment terms mentioned therein.

We confirm that the information submitted by us in our Bid/Proposal is true and correct. We agree to abide by the Bid/ Proposal and the fees quoted therein.

 We hereby acknowledge and unconditionally accept that_____may   on its absolute discretion apply whatever criteria deemed appropriate in short listing and selection of the auditors.

We declare that we have not made any alterations/changes whatsoever in the RFP document which is given by the Bank and we are fully aware that in the event of any change, the RFP document maintained at the Bank will be treated as authentic and binding and the Bid Proposal submitted by us will be liable to be rejected by the Bank in the event of any alteration made in the RFP document.

We undertake that, in competing for (and, if the award is made to us, in executing) the above contract, we will strictly observe the laws against fraud and corruption in force in India namely "Prevention of Corruption Act 1988".

We understand that you are not bound to accept the lowest, or any other Proposal, you may receive. Dated_____day of 2022

(signature)

(in the capacity of)
Duly authorized to sign Proposal for and on behalf of ____

Format 6.2

BID FORM (Price)

(To be included in Price Proposal Envelope)

Date:

To,

The Chief Executive Officer,

The District Co-operative Central Bank Ltd. Vizianagaram
1ST FLOOR,
18-2-9, KASPA, Raja Bazar,
Vizianagaram, Andhra Pradesh, 535002.
Email:ceo_vzm@apcob.org

Dear Sir,

Proposal for Appointment of Auditors for conducting

"Migration Audit of CBS Intellect Design Arena (IDA) to B@NCS 24 (M/s TCS) of the Bank"

Having examined the Bidding Documents, the receipt of which is hereby duly acknowledged, we, the undersigned, offer to provide auditing services in conformity with the said Bidding documents for the sum of ………………………………………………….. (Total Proposal amount in words and figures) taxes extra or such other sums as may be ascertained in accordance with the Schedule of Prices attached herewith and made part of this Proposal.

We undertake, if our Proposal is accepted, to deliver, install and commission the system, in accordance with the delivery schedule specified in the Schedule of Requirements.

We agree to abide by the Proposal and the rates quoted therein for the orders awarded by the Bank.

Until a formal contract is prepared and executed, this Proposal, together with your written acceptance thereof and your notification of award, shall constitute a binding Contract between us.

We undertake that, in competing for (and, if the award is made to us, in executing) the above contract, we will strictly observe the laws against fraud and corruption in force in India namely "Prevention of Corruption Act 1988".

We understand that you are not bound to accept the lowest or any Proposal you may receive. Dated _____day of 2022.

(signature)
(in the capacity of)
Duly authorized to sign Proposal for and on behalf of ____   16

Format 6.3

BID FORM (Price)

NON-DISCLOSURE AGREEMENT

WHEREAS, we,_____having registered Office at_____, hereinafter referred to as the COMPANY, are agreeable to offer Auditing Services as required to_____under their_____ having its registered office at The District Co-operative Central Bank Ltd. Vizianagaram

The District Co-operative Central Bank Ltd. Vizianagaram
1ST FLOOR,
18-2-9, KASPA, Raja Bazar,
Vizianagaram, Andhra Pradesh, 535002.
 hereinafter referred to as the BANK, and

WHEREAS, the COMPANY understands that the information regarding the Bank's RFP of "Migration Audit of Omni Version 3.0 to TCS B@NCS 24 of the Bank", and

WHEREAS, the COMPANY understands that in the course of submission of the offer for the said Services and/or in the aftermath thereof, it may be necessary that the COMPANY may perform certain jobs/duties on the Bank's 'properties and/or have access to certain systems, plans, documents, approvals or information of the BANK.

NOW THEREFORE, in consideration of the foregoing, the COMPANY agrees to all of the following conditions, in order to induce the BANK to grant the COMPANY specific access to the BANK's property/ information

The COMPANY will not publish or disclose to others, nor, use in any services that the COMPANY performs for others, any confidential or proprietary information belonging to the BANK, unless the COMPANY has first obtained the BANK's written Authorization to do so;

The COMPANY agrees that notes, specifications, designs, memoranda, SYSTEMS AND TOOLS and/or any other data shared by the BANK or, prepared or produced by the COMPANY for the purpose of submitting the offer to the BANK or for the performance of the said Contract/Services, will not be disclosed to during or subsequent to submission/execution of the offer to the BANK, to anyone outside the BANK.

The COMPANY shall not, without the BANK's written consent, disclose any specification, plan, pattern, details of systems, design, sample or information (to be) furnished by or on behalf of the BANK or made privy/available to the COMPANY in connection with this assignment, to any person(s) other than those employed/engaged by the COMPANY for the purpose of submitting the offer to the BANK and/or for the performance of the Contract in the aftermath. Disclosure to any employed/engaged person(s) shall be made in confidence and shall extend only so far as necessary for the purposes of such performance.

Authorised Signatory

Name: Designation:

Name: Designation:

(to be included in Price Bid Envelope)   Date:

The District Co-operative Central Bank Ltd. Vizianagaram
1ST FLOOR,
18-2-9, KASPA, Raja Bazar,
Vizianagaram, Andhra Pradesh, 535002Sir

Proposal for Appointment of Auditors for conducting

" Migration Audit of CBS Intellect Design Arena to B@NCS 24 (M/s TCS) of the Bank"

_____

In terms of the above-mentioned RFP document we submit herewith the commercial bid (fees) for the assignment proposed by the Bank as Auditor.

No	Key Components	Amount in	Amount in words
1	Fees(including of all expenses)		
2	GST/Any other Tax		
3	Total		

Authorized Signature:

Name   :

Designation   :

Name of the Firm   :

Address   :

Office seal   :

Place   :   Date :