

## ANNEXURE

(Annexed to the application for the TMB IS Audit assignment)

### Applicant Profile

| Description  | Details   |
|--|---|
| The registered name of the Applicant   |   |
| Constitution   |   |
| Names of Proprietor / Partners   |   |
| Applicant's registered address   |   |
| Contact addresses if different from above  |   |
| Applicant address for correspondence   | Address:<br><br>STD- phone:<br>e-mail Id:   |
| Contact name of the official who can commit on the contractual terms and the name of an alternate official who may be contacted in the absence of the former | Primary contact:<br>Name:<br>Designation:<br>STD- phone no:<br>Mobile phone :<br>e-mail ID :<br><br>Alternate contact:<br>Name :<br>Designation:<br>STD- phone no:<br>Mobile phone :<br>e-mail ID : |
| Applicant's organization has been in existence since (date)  |   |
| Applicant is registered with Cert-IN   |   |
| Applicant firms is earning profit for at least last two years?   |   |

| Description   | Details  |                  |                   |                  |                |          |   |                          |   |              |   |             |   |           |   |  |  |  |  |  |  |
|---|--|------------------|-------------------|------------------|----------------|----------|---|--------------------------|---|--------------|---|-------------|---|-----------|---|--|--|--|--|--|--|
| Details of prior IS audit projects withdrawn/cancelled before completion.   |  |                  |                   |                  |                |          |   |                          |   |              |   |             |   |           |   |  |  |  |  |  |  |
| Applicant is engaged in Information Systems Audits since (month & year)   |  |                  |                   |                  |                |          |   |                          |   |              |   |             |   |           |   |  |  |  |  |  |  |
| Whether Information Systems Audit is the core function of the applicant?  |  |                  |                   |                  |                |          |   |                          |   |              |   |             |   |           |   |  |  |  |  |  |  |
| Details of assignments where the Applicant has performed Bank's IS Audit.   | <u>List of Public Sector Banks/Private Sector Banks/Financial Institutions:</u>  |                  |                   |                  |                |          |   |                          |   |              |   |             |   |           |   |  |  |  |  |  |  |
| Names of the Banks where IS Audit was undertaken by the applicant till 31.12.2024   | <table border="1"> <thead> <tr> <th data-bbox="724 831 1002 927">Name of the Bank</th> <th data-bbox="1002 831 1185 927">Name of the Audit</th> <th data-bbox="1185 831 1337 927">Audit Start Date</th> <th data-bbox="1337 831 1505 927">Audit end-date</th> </tr> </thead> <tbody> <tr> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td></td> <td></td> <td></td> <td></td> </tr> </tbody> </table>   | Name of the Bank | Name of the Audit | Audit Start Date | Audit end-date |          |   |                          |   |              |   |             |   |           |   |  |  |  |  |  |  |
| Name of the Bank  | Name of the Audit  | Audit Start Date | Audit end-date    |                  |                |          |   |                          |   |              |   |             |   |           |   |  |  |  |  |  |  |
|   |  |                  |                   |                  |                |          |   |                          |   |              |   |             |   |           |   |  |  |  |  |  |  |
|   |  |                  |                   |                  |                |          |   |                          |   |              |   |             |   |           |   |  |  |  |  |  |  |
|   |  |                  |                   |                  |                |          |   |                          |   |              |   |             |   |           |   |  |  |  |  |  |  |
|   |  |                  |                   |                  |                |          |   |                          |   |              |   |             |   |           |   |  |  |  |  |  |  |
| Brief the Audit Methodology to be used for the proposed IS Audit  |  |                  |                   |                  |                |          |   |                          |   |              |   |             |   |           |   |  |  |  |  |  |  |
| Applicant confirms that there are no legal actions / restrictions by any regulatory authority that would affect the ability to deliver audit deliverables |  |                  |                   |                  |                |          |   |                          |   |              |   |             |   |           |   |  |  |  |  |  |  |
| The applicant confirms that they fully comply with the "Eligibility Criteria (4)" as mentioned in the RFP.  |  |                  |                   |                  |                |          |   |                          |   |              |   |             |   |           |   |  |  |  |  |  |  |
| Qualifications of project leads that have led prior IS audit assignments for CBS implementation in a Bank   | CISA :<br>CISSP :<br>Individual Curriculum Vitae of project leads and other key personnel enclosed.  |                  |                   |                  |                |          |   |                          |   |              |   |             |   |           |   |  |  |  |  |  |  |
| Number of professional manpower available for IS audits   | <table> <thead> <tr> <th></th> <th style="text-align: right;">Number</th> </tr> </thead> <tbody> <tr> <td>1. CISA/CISM</td> <td style="text-align: right;">:</td> </tr> <tr> <td>2. CISSP</td> <td style="text-align: right;">:</td> </tr> <tr> <td>3. BS7799/ ISO 27001 LA:</td> <td style="text-align: right;">:</td> </tr> <tr> <td>4. CCNA/CCNE</td> <td style="text-align: right;">:</td> </tr> <tr> <td>5. DISA/ISA</td> <td style="text-align: right;">:</td> </tr> <tr> <td>6. Others</td> <td style="text-align: right;">:</td> </tr> </tbody> </table> |                  | Number            | 1. CISA/CISM     | :              | 2. CISSP | : | 3. BS7799/ ISO 27001 LA: | : | 4. CCNA/CCNE | : | 5. DISA/ISA | : | 6. Others | : |  |  |  |  |  |  |
|   | Number   |                  |                   |                  |                |          |   |                          |   |              |   |             |   |           |   |  |  |  |  |  |  |
| 1. CISA/CISM  | :  |                  |                   |                  |                |          |   |                          |   |              |   |             |   |           |   |  |  |  |  |  |  |
| 2. CISSP  | :  |                  |                   |                  |                |          |   |                          |   |              |   |             |   |           |   |  |  |  |  |  |  |
| 3. BS7799/ ISO 27001 LA:  | :  |                  |                   |                  |                |          |   |                          |   |              |   |             |   |           |   |  |  |  |  |  |  |
| 4. CCNA/CCNE  | :  |                  |                   |                  |                |          |   |                          |   |              |   |             |   |           |   |  |  |  |  |  |  |
| 5. DISA/ISA   | :  |                  |                   |                  |                |          |   |                          |   |              |   |             |   |           |   |  |  |  |  |  |  |
| 6. Others   | :  |                  |                   |                  |                |          |   |                          |   |              |   |             |   |           |   |  |  |  |  |  |  |

| Description   | Details  |                      |                     |  |      |                                 |                      |                     |   |  |    |   |    |    |           |  |    |           |  |    |               |  |    |             |    |    |   |  |    |                        |  |    |   |  |     |   |  |     |  |  |
|---|--|----------------------|---------------------|--|------|---------------------------------|----------------------|---------------------|---|--|----|---|----|----|-----------|--|----|-----------|--|----|---------------|--|----|-------------|----|----|---|--|----|------------------------|--|----|---|--|-----|---|--|-----|--|--|
| Name of the project Manager to be engaged in the proposed project (Please enclose the profile of project Manager)   | <table border="1" data-bbox="724 275 1506 371"> <thead> <tr> <th>S.No</th> <th>Name of the project manager</th> <th>Qualification</th> <th>IS Audit Experience</th> </tr> </thead> <tbody> <tr> <td>1.</td> <td></td> <td></td> <td></td> </tr> </tbody> </table> <p>(Note: If any change in the above list while taking up the audit or during the audit, prior approval from Bank should be obtained)</p>  |                      |                     |  | S.No | Name of the project manager     | Qualification        | IS Audit Experience | 1.  |  |    |   |    |    |           |  |    |           |  |    |               |  |    |             |    |    |   |  |    |                        |  |    |   |  |     |   |  |     |  |  |
| S.No  | Name of the project manager  | Qualification        | IS Audit Experience |  |      |                                 |                      |                     |   |  |    |   |    |    |           |  |    |           |  |    |               |  |    |             |    |    |   |  |    |                        |  |    |   |  |     |   |  |     |  |  |
| 1.  |  |                      |                     |  |      |                                 |                      |                     |   |  |    |   |    |    |           |  |    |           |  |    |               |  |    |             |    |    |   |  |    |                        |  |    |   |  |     |   |  |     |  |  |
| Total number of field level auditors (Team lead and other auditors) to be engaged in the proposed project: (Please enclose the profile of each of the field level auditors) | <p>List of the Auditors to be engaged in field level auditing:</p> <table border="1" data-bbox="724 573 1506 797"> <thead> <tr> <th>S.No</th> <th>Name of the Field level Auditor</th> <th>Qualification</th> <th>IS Audit Experience</th> </tr> </thead> <tbody> <tr><td>2.</td><td></td><td></td><td></td></tr> <tr><td>3.</td><td></td><td></td><td></td></tr> <tr><td>4.</td><td></td><td></td><td></td></tr> <tr><td>5.</td><td></td><td></td><td></td></tr> <tr><td>6.</td><td></td><td></td><td></td></tr> </tbody> </table> <p>(Note: If any change in the Field level auditors, while taking up the audit or during the audit, prior approval from Bank should be obtained)</p>   |                      |                     |  | S.No | Name of the Field level Auditor | Qualification        | IS Audit Experience | 2.  |  |    |   | 3. |    |           |  | 4. |           |  |    | 5.            |  |    |             | 6. |    |   |  |    |                        |  |    |   |  |     |   |  |     |  |  |
| S.No  | Name of the Field level Auditor  | Qualification        | IS Audit Experience |  |      |                                 |                      |                     |   |  |    |   |    |    |           |  |    |           |  |    |               |  |    |             |    |    |   |  |    |                        |  |    |   |  |     |   |  |     |  |  |
| 2.  |  |                      |                     |  |      |                                 |                      |                     |   |  |    |   |    |    |           |  |    |           |  |    |               |  |    |             |    |    |   |  |    |                        |  |    |   |  |     |   |  |     |  |  |
| 3.  |  |                      |                     |  |      |                                 |                      |                     |   |  |    |   |    |    |           |  |    |           |  |    |               |  |    |             |    |    |   |  |    |                        |  |    |   |  |     |   |  |     |  |  |
| 4.  |  |                      |                     |  |      |                                 |                      |                     |   |  |    |   |    |    |           |  |    |           |  |    |               |  |    |             |    |    |   |  |    |                        |  |    |   |  |     |   |  |     |  |  |
| 5.  |  |                      |                     |  |      |                                 |                      |                     |   |  |    |   |    |    |           |  |    |           |  |    |               |  |    |             |    |    |   |  |    |                        |  |    |   |  |     |   |  |     |  |  |
| 6.  |  |                      |                     |  |      |                                 |                      |                     |   |  |    |   |    |    |           |  |    |           |  |    |               |  |    |             |    |    |   |  |    |                        |  |    |   |  |     |   |  |     |  |  |
| Man days estimate   | <table border="1" data-bbox="724 965 1506 1653"> <thead> <tr> <th>S.No</th> <th>Audit Area</th> <th>Man days requirement</th> </tr> </thead> <tbody> <tr><td>1.</td><td>Availability and adequacy of the documented policy/plan/SOP etc</td><td></td></tr> <tr><td>2.</td><td>Audit of 55 Nos of Application / Security Solutions</td><td></td></tr> <tr><td>3.</td><td>API Audit</td><td></td></tr> <tr><td>4.</td><td>ATM Audit</td><td></td></tr> <tr><td>5.</td><td>Network Audit</td><td></td></tr> <tr><td>6.</td><td>SWIFT Audit</td><td></td></tr> <tr><td>7.</td><td>Website, mail system and social media audit</td><td></td></tr> <tr><td>8.</td><td>IS Audit of 3 Branches</td><td></td></tr> <tr><td>9.</td><td>Asset Management, Access control, HSM, BCP/DR, Change /Incident/Data base/ Server/ Log/ Capacity /Backup / Patch / Record Management and Media handling</td><td></td></tr> <tr><td>10.</td><td>Compliance validation of CSITE advisories and Regulatory directions</td><td></td></tr> <tr><td>11.</td><td>Presentation of audit findings to Top Management / Board</td><td></td></tr> </tbody> </table> |                      |                     |  | S.No | Audit Area                      | Man days requirement | 1.                  | Availability and adequacy of the documented policy/plan/SOP etc |  | 2. | Audit of 55 Nos of Application / Security Solutions |    | 3. | API Audit |  | 4. | ATM Audit |  | 5. | Network Audit |  | 6. | SWIFT Audit |    | 7. | Website, mail system and social media audit |  | 8. | IS Audit of 3 Branches |  | 9. | Asset Management, Access control, HSM, BCP/DR, Change /Incident/Data base/ Server/ Log/ Capacity /Backup / Patch / Record Management and Media handling |  | 10. | Compliance validation of CSITE advisories and Regulatory directions |  | 11. | Presentation of audit findings to Top Management / Board |  |
| S.No  | Audit Area   | Man days requirement |                     |  |      |                                 |                      |                     |   |  |    |   |    |    |           |  |    |           |  |    |               |  |    |             |    |    |   |  |    |                        |  |    |   |  |     |   |  |     |  |  |
| 1.  | Availability and adequacy of the documented policy/plan/SOP etc  |                      |                     |  |      |                                 |                      |                     |   |  |    |   |    |    |           |  |    |           |  |    |               |  |    |             |    |    |   |  |    |                        |  |    |   |  |     |   |  |     |  |  |
| 2.  | Audit of 55 Nos of Application / Security Solutions  |                      |                     |  |      |                                 |                      |                     |   |  |    |   |    |    |           |  |    |           |  |    |               |  |    |             |    |    |   |  |    |                        |  |    |   |  |     |   |  |     |  |  |
| 3.  | API Audit  |                      |                     |  |      |                                 |                      |                     |   |  |    |   |    |    |           |  |    |           |  |    |               |  |    |             |    |    |   |  |    |                        |  |    |   |  |     |   |  |     |  |  |
| 4.  | ATM Audit  |                      |                     |  |      |                                 |                      |                     |   |  |    |   |    |    |           |  |    |           |  |    |               |  |    |             |    |    |   |  |    |                        |  |    |   |  |     |   |  |     |  |  |
| 5.  | Network Audit  |                      |                     |  |      |                                 |                      |                     |   |  |    |   |    |    |           |  |    |           |  |    |               |  |    |             |    |    |   |  |    |                        |  |    |   |  |     |   |  |     |  |  |
| 6.  | SWIFT Audit  |                      |                     |  |      |                                 |                      |                     |   |  |    |   |    |    |           |  |    |           |  |    |               |  |    |             |    |    |   |  |    |                        |  |    |   |  |     |   |  |     |  |  |
| 7.  | Website, mail system and social media audit  |                      |                     |  |      |                                 |                      |                     |   |  |    |   |    |    |           |  |    |           |  |    |               |  |    |             |    |    |   |  |    |                        |  |    |   |  |     |   |  |     |  |  |
| 8.  | IS Audit of 3 Branches   |                      |                     |  |      |                                 |                      |                     |   |  |    |   |    |    |           |  |    |           |  |    |               |  |    |             |    |    |   |  |    |                        |  |    |   |  |     |   |  |     |  |  |
| 9.  | Asset Management, Access control, HSM, BCP/DR, Change /Incident/Data base/ Server/ Log/ Capacity /Backup / Patch / Record Management and Media handling  |                      |                     |  |      |                                 |                      |                     |   |  |    |   |    |    |           |  |    |           |  |    |               |  |    |             |    |    |   |  |    |                        |  |    |   |  |     |   |  |     |  |  |
| 10.   | Compliance validation of CSITE advisories and Regulatory directions  |                      |                     |  |      |                                 |                      |                     |   |  |    |   |    |    |           |  |    |           |  |    |               |  |    |             |    |    |   |  |    |                        |  |    |   |  |     |   |  |     |  |  |
| 11.   | Presentation of audit findings to Top Management / Board   |                      |                     |  |      |                                 |                      |                     |   |  |    |   |    |    |           |  |    |           |  |    |               |  |    |             |    |    |   |  |    |                        |  |    |   |  |     |   |  |     |  |  |

Certified that the above particulars are true and correct to the best of our knowledge and belief.

**Authorized signatory with seal**

(To be signed by the legally authorized signatory)

Date :

Place: