



UCO BANK

Department of Information Technology

Expression of Interest (EOI) for Empanelment of IS Audit Firm/Organization for two years (E-tendering)

EOI Ref. No: UCO/DIT/EOI/530/2026-27 Date: 23/06/2026

Pre-Bid Responses/ Clarifications published on 16-07-2026

Sl. No.	EOI Page No.	EOI Clause No.	Original EOI Clause	Query sought/ Suggestions of the Bidder	Banks Response
1			General query	We (Protiviti India Member Pvt. Ltd.) are appointed as IS auditor vide EOI for Selection of IS Audit Firms/ Organization for Information Systems Audit (Bid No.: GEM/2025/B/6961272 dated 03-12-2025). The EOI had defined for 35 Audit areas/ activities of which 21 activities are assigned to Protiviti India Member Pvt. Ltd., in proportions of 60:40 based on cost between L1 & L2 bidder respectively. Now, in the EOI released by the bank, there are 80 audit areas/ activities defined for which empanelment is required. Hence, it is requested to allow us to participate in EOI and if selected the work may be allotted for the remaining areas of audit i.e. other than the 21 activities allotted under the above mentioned EOI.	Existing IS Auditors are also allowed to participate in EOI process. However, IS Auditors who were engaged earlier and completed their contract period will have a cooling period of 2 years after expiry of their contract periods. Further, this cooling period will not be applicable for Audit firms who were engaged to carry out any Special Audit(s) through a separate selection process.

2			General Query	Is there a cooling period for empanelment of IS Audit Process?	IS Auditors who were engaged earlier and completed their contract period will have a cooling period of 2 years after expiry of their contract periods. Further, this cooling period will not be applicable for Audit firms who were engaged to carry out any Special Audit(s) through a separate selection process.
3	8	Eligibility Clause 4 (IS Audit Experience)		Kindly clarify whether the required IS Audit experience may include assignments executed for Scheduled Commercial Banks, Public Sector Undertakings (PSUs), Payment Banks and other Government organizations, provided the scope of work is comparable to the Information Systems Audit defined in this EOI.	RFP Clause is self-explanatory.
4	8,9	Eligibility Clauses 4 & 6 (Documentary Evidence)		Kindly clarify whether a combination of Purchase Order / Work Order / SLA together with any one of the following— Completion Certificate, Project Sign-off, Satisfactory Client Certificate or official e-mail confirmation from the client—shall be considered sufficient documentary evidence. Further, where confidentiality restrictions prevent submission of detailed audit reports, kindly confirm whether redacted reports, executive summaries or client acknowledgements may also be considered as supporting evidence.	RFP Clause is self-explanatory.

5	9	Eligibility Clause 6 (Audit Units)		Kindly clarify whether multiple Audit Units completed under a single audit engagement will be counted individually, provided documentary evidence clearly establishes the respective Audit Units performed. Also, kindly clarify the methodology that will be adopted by the Bank for mapping bidder experience against the Audit Units specified in the Scope of Work.	Audit Units/Areas may be read as Audit Areas throughout this EOI.
6	9	Eligibility Clause 5 (Core Audit Team)		Kindly confirm that the prescribed professional certifications (CISA, CISSP, CISM, ISO 27001 LA, DISA, AAIA, CRISC, CCAK, CCSP) may be collectively available across the proposed Core Audit Team and need not necessarily be held individually by every team member. Further, whether additional equivalent industry certifications may be submitted as supplementary credentials.	Each member of the core team must have at least one certification from the prescribed list. Also please refer to corrigendum.
7	9	Eligibility Clause 7 (CERT-In Empanelment)		Kindly clarify whether the CERT-In empanelment is required to remain valid only on the date of bid submission or throughout the empanelment period. In case the renewal process is under progress, kindly specify the acceptable documentary evidence.	EOI Clause is self- explanatory.

8		Empanelment Process		As this is an Expression of Interest (EOI) for empanelment and individual assignments will subsequently be issued through RFQs, kindly clarify whether empanelled firms will be permitted to update manpower details, certifications and project credentials prior to participating in future RFQs.	All credentials sought in this EOI for evaluation purpose. However, requisite criteria as per EOI is required to be maintained throughout the empanelment period and Bank will have right to verify qualification/experience of IS Auditor conducting/aligned to conduct IS Audit.
9		Technical Evaluation		Kindly confirm whether, wherever the bidder's eligibility is otherwise established, any clarification relating to documentary evidence, document legibility or mapping of submitted credentials may be sought through the e-Tender portal during technical evaluation, as provided in the EOI.	RFP clause is self-explanatory.
10	9	Eligibility Clause 6		Kindly clarify whether Audit Units completed as part of a comprehensive Information Systems Audit engagement (e.g., VAPT, Network Audit, Database Audit, Cloud Audit, API Audit, etc.) will be evaluated based on the actual activities performed and evidenced through the submitted documents, even if the Purchase Order or Work Order does not explicitly enumerate each individual Audit Unit.	It is the bidder's responsibility to provide necessary documentary evidence which is acceptable to the Bank.
11		EOI Process / Scope		Kindly confirm whether the present EOI is solely for empanelment of eligible IS Audit Firms for a period of two years, and that individual audit assignments, scope of work, commercial bids and financial	Yes. Your understanding is correct. EOI is solely for empanelment and no need to submit any

				evaluation shall be invited separately through subsequent RFQs issued only to the empanelled firms. Further, kindly confirm that no commercial quotation or financial bid is required to be submitted as part of the present EOI.	commercial quotes.
12		Nature of EOI		Is this EOI only for empanelment or do we need to submit commercial quote as well? If yes, we need the clarification for below points 11, 12, 13, 14 and 15.	EOI is solely for empanelment and no need to submit any commercial quotes.
13		Asset Inventory		Kindly provide an approximate inventory of servers, applications, databases, APIs, network devices, cloud assets and security devices to enable accurate effort estimation.	The details will be shared with empanelled Auditor during RFQ Process.
14		Source Code Review		Please provide the estimated number of applications and approximate Lines of Code (LOC) expected for Source Code Audit/Secure Code Review assignments.	The details will be shared with empanelled Auditor during RFQ Process.
15		VAPT Scope		Kindly provide the approximate number of external and internal IPs, web applications, mobile applications and APIs expected to be covered under VAPT assignments.	The details will be shared with empanelled Auditor during RFQ Process.
16		Onsite Locations		Please confirm the expected number of onsite locations and whether travel, lodging and boarding expenses will be reimbursed by the Bank or it has to be considered while giving the commercial quote.	The details will be shared with empanelled Auditor during RFQ Process.
17		Vendor Audits		Approximately how many third-party vendors/service providers are expected to be audited during the contract period?	The details will be shared with empanelled Auditor.
18	9	3. ELIGIBILITY CRITERIA	<u>Sr.</u> <u>No.</u> <u>5</u> Criteria: The bidder must be having on their rolls, on permanent employment basis, a minimum of 10 (ten nos.) professionals	Kindly confirm that bank is look for a 10 Professional with the combination of given Certifications Example: 1 CISA, 1 CISSP, 5 ISO 270001 LA and so on. So total will be 10 resources with above combinations.	Please refer corrigendum.

			who hold professional certifications like CISA / CISSP / CISM / ISO 27001 LA / DISA (ICAI)/ AAIA/ CRISC/ CCAK/ CCSP with requisite experience to handle the work as per the scope (valid as on date). Proof of documents to be submitted: The profile of the Core Audit team must be submitted as per format given in Annexure – XVI format. Respective professional certificates to be submitted. The CV of the Core Audit team must be submitted as per format given in Annexure – XVII format.		
	9	3. ELIGIBILITY CRITERIA	<u>Sr. No. 6</u> Criteria: The bidder should have experience in completion of minimum 10 Audit Units/ Areas in single or multiple organizations during last 3 years as on bid submission date out of 80 Audit Units/ Areas mentioned in the Scope of the tender document. Out of these 10 areas at least 5 Audit Units/ Areas should have been completed in any Schedule commercial Bank/PSU. Proof of documents to be submitted: Relevant copy of any one of the following: 1. Purchase Order 2. SLA And Relevant copy of any one of the following: 1. Completion Certificates	Please clarify about the requirement of 10 Audit units/Areas, 80 Audit Units/Areas & 10 areas at least 5 Audit Units/ Areas.	RFP clause is self-explanatory.

			2. Project Sign-Offs 3. Satisfactory client certificate 4. E-mail confirmation from client Note- Credentials submitted should clearly confirm the requirement asked.		
	10	Eligibility Criteria		Firms that have been empanelled as Special Auditors for audits conducted according to specific regulatory recommendations, are such firms eligible to participate in the current EOI?	Refer to reply to Sl. No. 1
				<u>General Query</u> Firms that have <u>been empanelled as Special Auditors for</u> <u>audits conducted according to specific</u> <u>regulatory recommendations, are such</u> <u>firms eligible to participate in the current</u> <u>EOI?</u>	Refer to reply to Sl. No. 1



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Corrigendum/Addendum

Sl. No	EOI Page No.	Original Clause	Modified Clause
1.	9, Eligibility criteria SI no.5	The bidder must be having on their rolls, on permanent employment basis, a minimum of 10 (ten nos.) professionals who hold professional certifications like CISA / CISSP / CISM / ISO 27001 LA / DISA (ICAI)/AAIA/CRISC/CCAK/CCSP with requisite experience to handle the work as per the scope (valid as on date).	The bidder must be having on their rolls, on permanent employment basis, a minimum of 10 (ten nos.) professionals who hold professional certifications like CISA / CISSP / CISM / ISO 27001 LA / DISA (ICAI)/AAIA/CRISC/CCAK/CCSP/ CEH with requisite experience to handle the work as per the scope (valid as on date).

All other terms and conditions of the above bid document will remain unchanged.