

Request for proposals for Bank's a) Revenue Audit b) Information systems audit .

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Proposals are invited from co-operative banks audit experienced a) CA firms for revenue audit of the Bank and b) CA/Information systems security audit firms [with CISA/ISA(ICAI) signatories] for the information systems security audit of the bank . The proposals in sealed envelopes declaring on the face of the envelope, the type of audit proposed, giving herein stated details , should reach latest by 6 p.m. on January 23, 2012, at Bassein Catholic Co-operative Bank Limited, Head office, Papdy Naka, Papdy, Vasai ( West). Pin- 401207. The Bank reserves its right to accept or reject without giving reasons any or all proposals received.

The proposal details required are – name , address, Membership number, Firm Registration number of proposer, type of audit proposed, experience in relevant co-operative bank audit , audit methodology to be followed, type of audit staff proposed to be deployed, terms and conditions for the audit/cost estimates etc.

The details required for the proposal like scope, period of audit, date of submission of audit report are as under :

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Scope of Revenue Audit for 28 branches +Headoffice – Period - January 2011 to December 2011 ( Audit Report submission latest by March 05, 2012)

Revenue audit objective and scope in general, will be as per RBI guidelines issued in this regard from time to time and in specific is to detect leakage of revenue arising due to systems defect or human errors leading to revenue leakage in areas like interest paid / received , commission, various bank charges, service charges, processing charges etc.

Auditor will check manually , such items which are charged manually and also check such items, which are charged through system and will adopt revenue audit approach under CBS environment. Auditor will also check revenue related parameters/table files in our banking software at each location being audited. System Access will be provided at HO for all branches, so that, for only branch specific items , recovery and manually handled transactions, branches visit will be required. ( 28 branches and Head office).

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Scope of Information Systems audit: Period – April 2011 to March 2012 ( Audit report submission latest by May 05, 2012)

IS audit objective and scope will be as per RBI guidelines and IBA guidelines in this regard and primarily to ensure proper safety and security exists of IT assets and various controls are operating in IT environment within which banking activities are under taken.

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Considering the above objective, the Scope, in general , for IS audit under CBS environment for 28 branches , Head office and Data Centre of the bank , will include the following :

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1. Environmental Security, Physical controls and Disaster Recovery
2. Data Integrity and Security Controls
3. Logical access and procedural Access Controls
4. Employee supervision controls including change management, incidence response
5. Methodology and documentation controls
6. Backup, BCP, DRP, security policy implementation
7. Network security audit
8. Review of and suggestions to improve the Information Systems security policy to cover present CBS environment
9. Follow-up and review of past IS audit report including reporting on compliance of the past IS audit report.

Value addition apart from above items will be welcome

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General Manager

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