

Date: 29-08-2025

Tender No. IS-2025-08-29/02

Request For Proposal (RFP) from Entities

For

Being considered for appointment of Audit firm for Cyber Security, System Audit and other audit related activities

Important Note: Applications in response to this RFP are invited to carry out a preliminary evaluation to assess the suitability of the applicants to take up the assignment based on our internal norms and accordingly, to shortlist the audit firms not exceeding five for the purpose of moving to the second phase of technical and commercial bidding process.

Disclaimer

The information contained in this RFP document or information provided subsequently to applicants whether verbally or in documentary form by or on behalf of Canara Robeco Asset Management Company Limited (CRAMC), is provided to the applicant(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 document is not an agreement and is not an offer or invitation by CRAMC to any parties other than the applicants who are qualified to submit the applications as per the eligibility conditions. The purpose of this RFP is to provide the applicant(s) with information to assist the formulation of their proposals. This RFP does not claim to contain all the information each applicant may require. Each applicant firm should conduct its own investigations and analysis and should check the accuracy, reliability and completeness of the information in this RFP. CRAMC 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.

The information contained in the RFP document is selective and is subject to updation, expansion, revision and amendment. It does not purport to contain all the information that an Applicant may require. CRAMC does not undertake to provide any applicant with access to any additional information or to update the information in the RFP document or to correct any inaccuracies therein, which may become apparent. CRAMC reserves the right or discretion to change, modify, add or alter any or all of the provisions of this RFP document and / or the selection process, without assigning any reasons, whatsoever. Such change will be intimated to all applicants. Any information contained in this RFP document will be superseded by any later written information on the same subject made available to all recipients by CRAMC.

CRAMC may in its absolute discretion, but without being under any obligation to do so, update, amend or supplement the information in this RFP.

CRAMC reserves the right to reject any or all the expressions of interest / proposals received in response to this RFP document at any stage without assigning any reason whatsoever. The decision of CRAMC shall be final, conclusive and binding on all the parties.

In this document "AMC" or "CRAMC" shall mean Canara Robeco Asset Management Company Ltd., "Mutual Fund" shall mean Canara Robeco Mutual Fund, "Trustee Company" shall mean CRMF Trustee Private Ltd and "Sponsors" shall mean Canara Bank and Orix Corporation Europe NV. Any reference to these entities or their assigns includes, where applicable, a reference to its or their duly authorized agents or their delegates.

Canara Robeco Asset Management Company Ltd

A. Appointment of Audit firm for conducting Cyber Security and System Audit

➤ Invitation for Appointment

Canara Robeco Asset Management Company Limited (CRAMC) hereby makes a request for proposals from entities for conducting Audit pursuant to the below SEBI Circulars, as amended from time to time:

- i. SEBI Circular No. SEBI/HO/IMD/DF2/CIR/P/2019/12 dated January 10, 2019, on 'Cyber Security and Cyber Resilience framework for Mutual Funds / Asset Management Companies (AMCs)' read with below circulars.
 - SEBI/HO/IMD/DF2/CIR/P/2019/058 dated Apr 11, 2019
 - SEBI Circular No. SEBI/HO/IMD/IMD-1/DOF2/P/CIR/2022/81 dated June 09, 2022
 - AMFI/ 35P/ MEM-COR/ 58/ 2022-23 dated Nov 7, 2022
 - Cert-In directions No. 20(3)/2022-CERT-In
 - CERT-Fin Advisory- 201155100308
 - SEBI/HO/ITD/ITD_VAPT/P/CIR/2023/032 dated Feb 22, 2023
 - SEBI/HO/ITD/ITD_VAPT/P/CIR/2023/033 dated March 6, 2023
 - SEBI/HO/IMD/IMD-TPD-1/P/OW/2023/16538 dated Apr 19, 2023 and Letter dated Jun 6, 2023
 - SEBI/HO/IMD/IMD-PoD-1/P/CIR/2024/90 dated June 27, 2024
- ii. SEBI Circular No. SEBI/HO/ ITD-1/ITD_CSC_EXT/P/CIR/2024/113 dated August 20, 2024, on 'Cybersecurity and Cyber Resilience Framework (CSCRF) for SEBI Regulated Entities (REs) read with below circulars.
 - SEBI/HO/ ITD-1/ITD_CSC_EXT/P/CIR/2024/184 dated December 31, 2024 (Clarifications to Cybersecurity and Cyber Resilience Framework (CSCRF) for SEBI Regulated Entities (REs))
 - SEBI/HO/ ITD-1/ITD_CSC_EXT/P/CIR/2025/45 dated March 28, 2025 (Extension towards Adoption and Implementation of Cybersecurity and Cyber Resilience Framework (CSCRF) for SEBI Regulated Entities (REs))
 - SEBI/HO/ ITD-1/ITD_CSC_EXT/P/CIR/2025/60 dated April 30, 2025 (Clarifications to Cybersecurity and Cyber Resilience Framework (CSCRF) for SEBI Regulated Entities (REs))
 - Frequently Asked Questions (FAQs) on Cybersecurity and Cyber Resilience Framework (CSCRF) for SEBI REs and Framework for Adoption of Cloud Services by SEBI REs dated June 2025
 - SEBI/HO/ ITD-1/ITD_CSC_EXT/P/CIR/2025/96 dated June 30, 2025 (Extension towards Adoption and Implementation of Cybersecurity and Cyber Resilience Framework (CSCRF) for SEBI Regulated Entities (REs))
 - SEBI/HO/ ITD-1/ITD_CSC_EXT/P/CIR/2025/119 dated August 28, 2025 (Technical Clarifications to Cybersecurity and Cyber Resilience Framework (CSCRF) for SEBI Regulated Entities (REs))

- iii. SEBI Circular No. SEBI/HO/IMD/DF2/CIR/P/2019/57 dated April 11, 2019, on ‘System Audit framework for Mutual Funds / Asset Management Companies (AMCs)’.

Important Note: Based on our internal norms, audit firms not exceeding five will be shortlisted for the purpose of technical and commercial bidding process.

➤ **Scope And Eligibility Criteria for Cyber And Systems Audit**

Scope:

The scope and coverage of the audit will be as per the below mentioned SEBI circulars, as amended from time to time.

Sr. No.	Circular Reference and Date	Particulars	Frequency of audit & report
1.	SEBI Circular No. SEBI/HO/IMD/DF2/CIR/P/2019/12 dated January 10, 2019, read with <ul style="list-style-type: none"> • SEBI/HO/IMD/DF2/CIR/P/2019/058 dated Apr 11, 2019 • SEBI Circular No. SEBI/HO/IMD/IMD-I/DOF2/P/CIR/2022/81 dated June 09, 2022 • AMFI/ 35P/ MEM-COR/ 58/ 2022-23 dated Nov 7, 2022 • Cert-In directions No. 20(3)/2022-CERT-In • CERT-Fin Advisory- 201155100308 • SEBI/HO/ITD/ITD_VAPT/P/CIR/2023/032 dated Feb 22, 2023 • SEBI/HO/ITD/ITD_VAPT/P/CIR/2023/033 dated March 6, 2023 • SEBI/HO/IMD/IMD-TPD-1/P/OW/2023/16538 dated Apr 19, 2023 and Letter dated Jun 6, 2023 • SEBI/HO/IMD/IMD-PoD-1/P/CIR/2024/90 dated June 27, 2024 as amended from time to time.	Cyber Security and Cyber Resilience framework for Mutual Funds / Asset Management Companies (AMCs)	1 time for April 2025 – August 2025
2.	SEBI Circular No. SEBI/HO/ ITD-1/ITD_CSC_EXT/P/CIR/2024/113 dated August 20, 2025, read with <ul style="list-style-type: none"> • SEBI/HO/ ITD-1/ITD_CSC_EXT/P/CIR/2024/184 dated December 31, 2024 (Clarifications to Cybersecurity and Cyber Resilience 	Revised Cyber Security and Cyber Resilience framework for Regulated Entities (Res)	2 times in a year <ol style="list-style-type: none"> 1. September 2025 2. October 2025 – March 2026 3. April 2026 – September 2026

	<p>Framework (CSCRF) for SEBI Regulated Entities (REs))</p> <ul style="list-style-type: none"> • SEBI/HO/ ITD- 1/ITD_CSC_EXT/P/CIR/2025/45 dated March 28, 2025 (Extension towards Adoption and Implementation of Cybersecurity and Cyber Resilience Framework (CSCRF) for SEBI Regulated Entities (REs)) • SEBI/HO/ ITD- 1/ITD_CSC_EXT/P/CIR/2025/60 dated April 30, 2025 (Clarifications to Cybersecurity and Cyber Resilience Framework (CSCRF) for SEBI Regulated Entities (REs)) • Frequently Asked Questions (FAQs) on Cybersecurity and Cyber Resilience Framework (CSCRF) for SEBI REs and Framework for Adoption of Cloud Services by SEBI REs dated June 2025 • SEBI/HO/ ITD- 1/ITD_CSC_EXT/P/CIR/2025/96 dated June 30, 2025 (Extension towards Adoption and Implementation of Cybersecurity and Cyber Resilience Framework (CSCRF) for SEBI Regulated Entities (REs)) • SEBI/HO/ ITD- 1/ITD_CSC_EXT/P/CIR/2025/119 dated August 28, 2025 (Technical Clarifications to Cybersecurity and Cyber Resilience Framework (CSCRF) for SEBI Regulated Entities (REs)) 		<p>4. October 2026 – March 2027</p>
<p>3.</p>	<p>SEBI Circular no. SEBI/HO/IMD/DF2/CIR/P/2019/57 dated April 11, 2019, as amended from time to time.</p>	<p>System Audit framework for Mutual Funds / Asset Management Companies (AMCs)</p>	<p>Annual</p> <ol style="list-style-type: none"> 1. April 2025 – March 2026 2. April 2026 – March 2027

The scope covers the audit framework as stated in the SEBI circulars, as amended from time to time.

Detailed scope for the audit is mentioned in **Annexure 2**

A. Eligibility Criteria for Selection Of Systems / Cyber Security Auditors:

Criteria for selection of Systems / Cyber Security Auditor for a period of Two years commencing from the financial year 2025- 2026 are as follows:

In case the entity is a Firm / company:

1. The firm / company to be selected shall have at least minimum of two of the Partners/ qualified assistants / directors must be CISA / CISM qualified of which one of the Partners / qualified assistants / directors should oversee the assignment.
2. The Firm / Company must be compulsorily CERT-IN empanelled.
3. The Auditor must not have any conflict of interest in conducting fair, objective and independent audit.
4. The proposed appointment would be for 2 financial years (i.e. from April 01, 2025, to March 31, 2027) and shall be renewed for a further period of 1 year subject to review by CRAMC.
5. Auditors must have a minimum 3 years of experience in IT audit of Banking and Financial Services preferably in the Securities Market e.g. stock exchanges, clearing houses, depositories etc. Auditing experience of the Cyber Security Framework of NIST for an organization will be an added advantage.
6. Total Number of Audits carried out in BFSI including Cert-In, RBI, NPCI, BSE, NSE, MCX, NSDL related Information to Technology/Information Security/ Cyber Security Activities in India in the past 3 years.
7. The Authorised signatory signing the Report on behalf of the Company should be CISA/CISM qualified/ CERT-IN empanelled auditor.
8. The Auditor should have ISMS / IT audit/governance frameworks and processes conforming to leading industry practices like CobiT.
9. The Auditor should not have been engaged over the last three years in any consulting engagement with any departments/ units of CRAMC.
10. The Auditor must compulsorily enter into a Non-Disclosure Agreement (NDA) with CRAMC. Under no circumstances, the data sought during the review, or the audit report subsequently should leave the jurisdiction of India.
11. The firm / company shall have minimum 5 years' experience specifically in Systems Audit.
12. The firm / company shall have the experience of conducting Systems Audit of minimum 5 entities in the Banking, Financial Services, and Insurance (BFSI) Sector in any of the past three years.
13. The firm / company must be in Mumbai.
14. None of the Partners / Directors should have material pecuniary relationship with the AMC/ Trustee Company/ Sponsors in any capacity other than in the ordinary course of each other's business defined as follows:
 - Could have been associated in the capacity of an Auditor with the AMC/ the Trustee Company/ the Sponsors
 - The Firm / Company should be eligible for appointment as Systems Auditor as per the SEBI (Mutual Funds) Regulations, 1996, as amended from time to time read with such other applicable laws.
15. There should be a minimum cooling off period of 2 years for any previously appointed Systems Auditor including its associates to be re-eligible for appointment as Systems Auditors. In other words, the Systems Auditor for the audit period i.e., April 1, 2025, to March 31, 2026, shall not be re-eligible for appointment as Systems Auditors for the audit period April 1, 2027, to March 31, 2028.
16. The Auditor may not have any cases pending against its previous auditees, which fall under SEBI's jurisdiction, which point to its incompetence and/or unsuitability to perform the audit task.
17. Kindly provide the details of Total No. of Skilled Employees / Resources available with their Credentials/Certifications. If an employee of Level 1,2,3 or report signee leaves the company do you have adequate back up employees for the same.

Sr. No.	Description	Count
1.	Level 1 Resources (L1)	
2.	Level 2 Resources (L2)	
3.	Level 3 Resources (L3)	

*No. of Years' experience in Information Technology/Information Security/ Cyber Security related activities in INDIA in BFSI Sector including CertIn, RBI, NPCI, BSE, NSE, MCX, NSDL, GST. Evidence of previous Assignments/ references to be enclosed as a proof of Experience.

18. Format:

Sr. No.	Name of Employee	Designation	Professional Technical Qualifications	Certifications	Number of completed years as of bid submission date	Resource Level (L1, L2, L3)

Note:

The eligible entities will be evaluated based on the details submitted. Please provide the information in the format given in Annexure-1 herewith.

The bidders must submit letter of Acceptance – (Annexure 3)

B. Cost of Participation:

The bidder shall bear all costs associated with the preparation and submission of its Application and CRAMC, will in no case be held responsible or liable for these costs, regardless of the conduct or outcome of the selection process.

C. Clarification of RFP Documents:

A prospective applicant requiring any clarification of this RFP may notify CRAMC in writing by email at infosec.ciso@canararobeco.com only (subject of the mail to mention “Clarification on the RFP for Appointment of Systems and Cyber Audit”). CRAMC shall respond in writing by e-mail to any request for clarification of the application documents, from the prospective Applicants, which it receives not later than September 9, 2025. Communication made to other officials will not be allowed or recognized as valid. CRAMC shall not be obliged to respond to any such queries and/or communication.

D. RFP Submission:

Both the technical criteria & commercial response shall be submitted in separate sealed envelopes.

- a) Technical and Commercial RFP response should be submitted in hardcopy that is duly signed by the authorized signatory.
- b) The envelope containing hard copy of eligibility criteria should be superscribed
- c) The envelope containing hard copy of commercial response should be superscribed

- d) Both the hard copy of the envelope i.e Eligibility Criteria and Commercial Response should be submitted to:

Chief Information Security Officer
Canara Robeco Asset Management Company Pvt. Ltd
Construction House, 4th Floor,
5, Walchand Hirachand Marg,
Mumbai - 400 001.
Email: infosec.ciso@canararobeco.com

By Hand Delivery, Courier or Postal Service.

E. Last Date for Submission of Offers:

Only entities which qualify for appointment as per the eligibility criteria are requested to submit their proposals.

Entities interested in submitting proposals should submit the proposals latest by September 09, 2025, at the mentioned address in point no. D.

- i. The Company reserves the sole right to shortlist and award the assignments based on specified criteria and subject to approval of the appointment by Competent Authority. Further in case only one application is received/ no competitive applications are received, CRAMC shall have the sole right to either scrap the RFP process or to appoint the said sole applicant or otherwise as per directions of its competent authority
- ii. CRAMC reserves the sole right for including any addendum to this entire selection process. The applicants shall not claim as a right for requiring CRAMC to do the aforesaid.
- iii. At any time before the deadline for submission of proposals, CRAMC may, for any reason, whether at its own initiative or in response to a clarification requested by prospective applicants, modify this RFP Document.
- iv. All applicants who have responded to this RFP shall be notified of the amendment in writing by e-mail, and all such amendments shall be binding on them.
- v. If required, in order to allow prospective applicants reasonable time in which to take the amendment into account in preparing their applications, CRAMC, reserves the rights to extend the deadline for the submission of applications. However, no request from the applicant, shall be binding on CRAMC for the same.

F. Due Diligence:

The Applicant is expected to examine all instructions, forms, terms and specifications in this RFP. Application shall be deemed to have been done after careful study and examination of this RFP with full understanding of its implications. The Application should be precise, complete and in the prescribed format as per the requirement of this RFP. Failure to furnish all information required by this RFP or submission of Application not responsive to this RFP in every respect will be at the applicant's risk and may result in rejection of the Application.

G. General Conditions:

i.	No communication will be sent by the CRAMC and no correspondence will be entertained in respect of firms, which are not being selected.
ii.	The selected Firm, on receiving the offer letter from CRAMC, shall submit the hard copies of Letter of acceptance of terms and conditions, undertaking letter, and Undertaking of Fidelity and Secrecy (Formats will be shared with the selected firm).
iii.	The assignment should be carried out in a professional manner and in case of any misconduct & negligence, CRAMC is free to report the matter to ICAI/ SEBI/RBI under the guidelines from time to time. This will be in addition to the disengagement from the assignment.
iv.	All the necessary certificates including quarterly, half-yearly, annual closing of Books of Accounts that need to be given by audit firm as a part of the respective assignment shall be given on its letterhead without any additional certification fee.
v.	By virtue of the engagement, the successful applicant's team may have access to business information of CRAMC. CRAMC shall at all times have the sole ownership of and the right to use, all such data in perpetuity in the course of performing the Service(s) under the Engagement.
vi.	Appointment of Audit Firms shall be purely at discretion of CRAMC and no rights whatsoever accrue to the firm for such appointment.
vii.	The selected audit firm will have to stick to the following deadlines: <ul style="list-style-type: none"> - Submit monthly reports by the 15th of the succeeding month - Submit Quarterly reports by the 28th of the first month of the succeeding quarter - Registrar & Transfer agents are to be audited half yearly in the month of August & February and the reports to be submitted by 7th of September and 7th of March respectively.
viii.	Apart from the assignments mentioned, the selected audit firm is also expected to provide its input and understanding of all SEBI and AMFI circulars issued from time to time and provide guidance to CRAMC for operational implementation of the same. Such inputs and assistance should be provided in the minimum possible time post issuance of such circulars. CRAMC shall monitor the performance of audit firm closely. CRAMC reserves the right to terminate the assignment, without assigning any reason. In case of termination of assignment, the remuneration for the incomplete month and the residual period of the engagement shall not be payable by CRAMC.
ix.	The audit firm shall adhere to the audit coverage strictly as per the scope as may be decided by CRAMC from time to time.

x.	CRAMC reserves the right to seek views from the entities with whom the firm is/has been/was associated as Auditors.
xi.	The firm shall not sub-contract without the express permission from CRAMC, part of the audit work assigned to any outside firm or other persons even though such persons are qualified chartered accountants.
xii.	Any other terms and conditions of the assignment would be decided by CRAMC on a case-to-case basis.

H. Tenure of Audit Assignment:

The proposed appointment would be for 2 financial years (i.e. from April 01, 2025, to March 31, 2027) and shall be renewed for a further period of 1 year subject to review by CRAMC.

I. Representations and Warranties

- 1) That the Applicant is a Partnership firm/LLP which has the requisite qualifications, skills, experience and expertise in providing Service(s) contemplated hereunder, the financial wherewithal, the power and the authority to enter into the Engagement and provide the Service(s) sought by CRAMC.
- 2) That the Applicant is not involved in any major litigation, potential, threatened and existing, that may have an impact of affecting or compromising the performance and delivery of Service(s) under this Engagement.
- 3) That the representations made by the Applicant in its application are and shall continue to remain true and fulfill all the requirements as are necessary for executing the duties, obligations and responsibilities as laid down in the Engagement and the RFP Documents and unless CRAMC specifies to the contrary, the Applicant shall be bound by all the terms of the RFP.
- 4) That the Applicant has the professional skills, personnel and resources/authorizations that are necessary for providing all such services as are necessary to perform its obligations under the application and this Engagement.
- 5) That the Applicant shall use such assets of CRAMC as CRAMC may permit for the sole purpose of execution of its obligations under the terms of the RFP or the Engagement. The Applicant shall however, have no claim to any right, title, lien or other interest in any such property, and any possession of property for any duration whatsoever shall not create any right in equity or otherwise, merely by fact of such use or possession during or after the term hereof.
- 6) That the Applicant shall procure all the necessary permissions and adequate approvals and licenses for use of various software and any copyrighted process/products free from all claims, titles, interests and liens thereon and shall keep CRAMC, its directors, officers, employees, representatives, consultants and agents indemnified in relation thereto.
- 7) That all the representations and warranties as have been made by the Applicant with respect to its RFP and Engagement, are true and correct, and shall continue to remain true and correct throughout the term of the Engagement.
- 8) That the execution of the Service(s) herein is and shall be in accordance and in compliance with all applicable laws.

- 9) That there are – (a) no legal proceedings pending or threatened against Applicant or any of its partners or its team which adversely affect/may affect performance under this Engagement; and (b) no inquiries or investigations have been threatened, commenced or pending against the Applicant or any of its Partners or its team members by any statutory or regulatory or investigative agencies.
- 10) That the Applicant has the corporate power to execute, deliver and perform the terms and provisions of the Engagement and has taken all necessary corporate action to authorize the execution, delivery and performance by it of the Engagement.
- 11) That all conditions precedent under the Engagement have been complied.
- 12) That neither the execution and delivery by the Applicant of the Engagement nor the Applicant's compliance with or performance of the terms and provisions of the Engagement (i) will contravene any provision of any applicable law or any order, writ, injunction or decree of any court or governmental authority binding on the Applicant (ii) will conflict or be inconsistent with or result in any breach of any or the terms, covenants, conditions or provisions of, or constitute a default under any agreement, contract or instrument to which the Applicant is a party or by which it or any of its property or assets is bound or to which it may be subject.

J. Confidentiality

The Parties agree that they shall hold in trust any Confidential Information received by either Party, under the Engagement, and the strictest of confidence shall be maintained in respect of such Confidential Information. The Parties agree to execute Confidentiality Agreement prior to finalisation of Engagement and shall abide by the terms and conditions of confidentiality as contained therein.

K. Governing Law & Jurisdiction of Courts

The Engagement shall be governed in accordance with the laws of Republic of India. These provisions shall survive the Engagement.

The courts of India at Mumbai have exclusive jurisdiction to determine any proceeding in relation to the Engagement. These provisions shall survive the Engagement.

L. Time Limit for the Commencement of Work

Time limit for commencement of work shall be mutually decided at the time of award of Engagement.

ANNEXURE-1

IN CASE THE ENTITY IS A FIRM / Company:

NAME OF THE FIRM / Company:

I. DECLARATIONS RELATING TO ELIGIBILITY CRITERIA:

- i. Does the firm / company have at least 3 full time qualified partners / directors & 6 qualified Assistants and minimum of two of the Partners/ directors / qualified assistants are CISA / CISM qualified/ CERT-IN empanelled auditor, of which one of the Partners / Directors would oversee the assignment?

Yes/No:

- ii. Does the firm / company have minimum 5 years' experience specifically in Systems Audit?

Yes/No:

- iii. Does the firm / company have the experience of conducting Systems Audit of minimum 5 entities in the Banking, Financial Services, and Insurance (BFSI) Sector in any of the past three years?

Yes/No (If yes, provide the name of the entities and the period when systems audit was conducted):

- iv. Whether the firm / company is in Mumbai?

Yes/No:

- v. Whether the partners / Directors of the Firm / company have material pecuniary relationship with the AMC / the Trustee Company / the Sponsors in any capacity other than in the ordinary course of each other's business defined as follows:

- Could have a Banking relationship with the Sponsor Bank
- Could have been associated in the capacity of an Auditor with the AMC/ the Trustee Company/ the Sponsors

Yes/No:

- vi. Is the firm / company eligible for appointment as Systems Auditor as per the SEBI (Mutual Funds) Regulations, 1996, as amended from time to time read with such other applicable laws?

Yes/No:

- vii. A minimum cooling off period of 2 years has been completed for any previously appointed Systems Auditor including its associates in order to be re-eligible for appointment as Systems Auditors.

Yes/No/Not applicable:

In other words, the Systems Auditor for the audit period i.e. April 1, 2020 to March 31, 2022 shall not be re-eligible for appointment as Systems Auditors for the audit period April 1, 2022 to March 31, 2023.

II. DECLARATIONS RELATING TO THE FIRM / Company:

A. ORGANISATION PARTICULARS:

Age in Years:

B. MANPOWER:

i. PARTNERS / Directors

- No. of Partners / Directors:
- Out of the no. of partners/ directors stated above, how many Partners / directors have experience in Systems / Cyber Audit in the Banking, Financial Services, and Insurance (BFSI) Sector? (Mention the no. of such partners / directors and provide brief details and experience of such partners / directors)
- Out of the no. of partners / directors stated above, how many Partners / directors have experience in Systems / Cyber Audit of mutual funds? (Mention the no. of such partners / directors and provide brief details and experience of such partners / directors):
- Does the firm /company have a separate Systems Audit Department? (Yes/ No) *:

ii. PROFESSIONALLY QUALIFIED AUDITORS:

- No. of Professionally Qualified Auditors:
- Out of the no. of Professionally Qualified Auditors stated above, how many Professionally Qualified Auditors have experience in Systems Audit in BFSI Sector? (Mention the no. of such Professionally Qualified Auditors and also provide brief details and experience of such auditors)
- Out of the no. of Professionally Qualified Auditors stated above, how many Professionally Qualified Auditors have experience in Systems Audit of mutual funds? (Mention the no. of such Professionally Qualified Auditors and also provide brief details and experience of such auditors):
- Out of the no. of Professionally Qualified Auditors who have experience in Systems Audit of mutual funds as stated above, how many auditors are ISO 27001 Certified Lead Auditors? (Mention the no. of such auditors):

iii. OTHER PROFESSIONALLY QUALIFIED STAFF:

- No. of other professionally qualified staff indicating nature of qualification:

C. PROFESSIONAL EXPERIENCE:

i. NO. OF YEARS OF SYSTEMS AUDIT EXPERIENCE:

ii. SYSTEMS AUDIT / INTERNAL /STATUTORY / OTHER ASSIGNMENTS CONDUCTED IN THE BFSI SECTOR, MUTUAL FUNDS, AMCs, TRUSTEE COMPANIES TO BE GIVEN AS FOLLOWS:

- No. of Systems Audit conducted in the BFSI Sector
- No. of Systems Audit conducted of Mutual Funds, AMCs, Trustee Companies:
- No. of Internal /Statutory / other Assignments conducted of Mutual Funds, AMCs, Trustee Companies:
- The details of the above-mentioned Systems Audit/ Internal/ Statutory/ other Assignments along with details of when the assignment was conducted:

iii. SEBI INSPECTIONS:

- No. of SEBI Inspections conducted:
- Out of the no. of SEBI Inspections stated above, how many SEBI Inspections pertained to Mutual Funds? (Mention no. of such SEBI Inspections, details of such inspections including the details of when the inspection was conducted):

FORMAT:

Sr. No.	Name of Employee	Designation	Professional Technical Qualifications	Certifications	Number of completed years as of bid submission date	Resource Level (L1, L2, L3)

D. DETAILS OF REGULATORY ACTION/ PROCEEDING, IF ANY

Details of any regulatory action that has been taken / any regulatory proceeding that is in process against the firm/ any partner / director of the firm / company [including any action taken or proceeding in progress against the firm/ any partner/ employee / Director / company by SEBI/IRDA/RBI/Government Organization / Cert-in / Regulatory body in India]:

III. FEE PROPOSED:

- Fee Proposed for FY 2025-2026:
- Are you prepared to continue with the above proposed fee, for the following financial year without any escalation? – (Yes/ No) (If no, then please provide your proposition):
 - Fee Proposed for FY 2026-2027:

IV. CONTACT DETAILS:

(Please provide details of the official who can be contacted for queries, if any, in the proposal submitted by the Firm / company)

Name of Contact Person:

Designation:

Mobile Number:

Email ID:

The entities eligible to be appointed based on the eligibility criteria given in Section I above, will be evaluated based on the details provided in Section II and the fee proposed in Section III above. Short listed entities may be called for making a presentation covering details regarding the entity, the audit team, and the audit approach.