

F. No. 11(8)/2022-CCA
Government of India
Ministry of Electronics & Information Technology
Office of Controller of Certifying Authorities
Electronics Niketan, 6, CGO Complex,
New Delhi-110 003

Subject:- Notice Inviting Tender towards Empanelment of Auditors for auditing the Infrastructure of prospective & Licensed Certifying Authorities.

The Government of India enacted the Information Technology Act, 2000 for providing legal recognition to transactions carried out through electronic communications for e-Governance & e-Commerce. Under the Information Technology Act, 2000, the Office of CCA has been set up in the Ministry of Electronics and Information Technology (MeitY) with the objective of promoting trust in the electronic environment.

2. Office of the Controller of Certifying Authorities (CCA) intends to empanel interested & eligible Organizations as Auditors for auditing physical and technical infrastructure as well as implemented practices of both prospective and licensed Certifying Authorities (CAs). The audit has to be done as per the requirements prescribed under the Information Technology Act, 2000 and guidelines formulated in the matter. The detailed Audit Criteria for audit of Certifying Authorities is published on website at URL: <https://cca.gov.in/sites/files/pdf/guidelines/CCA-CAAC.pdf>. Any amendment/modification of the Audit Criteria will be notified on the above mentioned website and the same will be applicable with immediate effect.

3. Accordingly sealed bids are invited in two-part format (Technical bid and Schedule of Fee) in two separate sealed covers with both the covers to be sealed in a single cover. First cover indicating “COVER FOR TECHNICAL BID” should consist of only Applicant’s profile and requisite details along with supporting documents as per information & format prescribed in below para(s). Second cover indicating, “COVER FOR SCHEDULE OF FEE” should consist of Fees (excluding taxes) payable to the Auditor towards per Man Day Rate strictly in the format as per **Annexure-II**.

4. The notice inviting Tender along with the proforma for submission of bids can be downloaded from Office of CCA’s website www.cca.gov.in. The duly filled in proforma along with requisite details / supporting documents in r/o pre-qualification / general terms and schedule of fee should be submitted to the office of **Sh. Dilip Kumar Barman, AC(T) & Director (F&A), Room No. 2052-53, Electronics Niketan, 6, CGO Complex, New Delhi-110 003**, upto the last date for submission of bid as per the schedule of dates. The incomplete or unsigned offers and/or Schedule of fee will not be accepted for evaluation. Also, any offer received after the due date & time will not be accepted in any circumstances. The sealed offers can be submitted on any working day (except holidays as per standard list in central government) between 10:00 AM to 5:00 PM upto the last date for submission of bid.

5. Office of CCA or its evaluation committee reserves the right to devise any process or mechanism for short-listing and/or evaluation of offer(s) as deemed fit. Also the committee holds the right to call any or all the applicants/ parties for interaction and/or presentation. The sealed cover of schedule of fee of only those applicants / parties shortlisted by committee after evaluation of technical offer will be opened for further evaluation.

6. Office of CCA reserves the right to cancel the Tender at any stage without assigning any reasons whatsoever and will not be responsible for any losses incurred by any applicant arising out of such cancellation.

A. PRE-QUALIFICATIONS & EXPERIENCE:

- (i) Knowledge of trusted computer information systems & trusted networking environments with relevant experience in information systems audits in last 5 years. (Copy of relevant Purchase orders /work orders to be attached).
- (ii) The Audit organization should have minimum of 01 Auditor with ISO 27001 Lead Auditor Certification & 01 Auditor with CISA/DISA/CISSP certification on their rolls. (Details of auditors including certificate to be attached along with proof their present employment with applicant organization to be attached).
- (iii) The Audit organization should have at least 05years experience in conducting security audits. (Copy of relevant Purchase orders /work orders to be attached).
- (iv) The applicant Audit organization should have done minimum 25 nos. of Information Security Audits. (Copy of relevant Purchase orders /work orders to be attached).
- (v) The applicant Audit organization should be Cert-In Empaneled Auditor as on the date of submission of offer (Letter of empanelment to be attached).
- (vi) The applicant Audit organization should have conducted at least 03 audits for CAs/ESPs or executed 03 projects on PKI in Government Dept./Organizations /Public Sector Undertakings. (Copy of relevant Purchase orders /work orders to be attached).
- (vii) The applicant Audit organization should not have any current or planned financial, legal or other relationship, other than that of an Auditor with any of the licensed Certifying Authority as on the last date for submission of offer. The list of licensed Certifying Authorities is available on CCA website (<https://cca.gov.in>) (Undertaking towards the same should be attached)
- (viii) The bidder should be a Company registered in India under the Indian Companies Act 2013 or a partnership firm registered under the India Partnership Act 1932 or a limited liability partnership firm registered under Limited Liability Partnership Act 2008 or a Society registered under the Societies Registration Act 1860 with their registered office in India for the minimum of last five years as on the date of submission of offer (Proof of registration to be attached).

B. INTERESTED BIDDER ORGANIZATIONS MAY SUBMIT THE REQUISITE INFORMATION UNDER THEIR OFFER IN THE FOLLOWING PERFORMA:

Annexure-I

1. Name of the Organization:
2. No. of years of experience in Information Security audit:
3. Total number of IT systems audits done by the organization (from Jan, 2017):
4. Details of Information Security audit done as mentioned in Sl. 3 above in the following format:

S. No.	Type of Audit (Choose from the following)	Name of the Organization where audit was carried out	Year of Audit	Duration (in days)
	a) Certifying Authority (CA) & eSign Service Provider (ESP) Audit under IT Act, 2000			
	b) Information Security process audit			
	c) Information Security Technology audit			
	d) Information Security system audit			
	e) Other audit information			

5. List of Certified Information Security Auditors (in the following format):

Name of the Auditor	No. of years of experience	ISO 27001 LA	CISA	DISA	CISSP

C. NOTE:

1. All the documents submitted along with the offer must be signed & stamped / digitally signed by the authorized signatory of the organization, failing which the offer is liable to be rejected.
2. The applicant organization(s) are requested to furnish documents to establish their eligibility for each of the above clauses. Relevant portions, in the documents submitted in pursuance of eligibility criteria mentioned above, may be highlighted. If offers are not accompanied by all of the above-mentioned documents, the offer will be rejected outrightly. Undertaking for subsequent submission of any of the above document will not be entertained under any circumstances. However, O/o CCA reserves the right to seek clarifications, as per their discretion.
3. As a process of evaluation, all the received technical bids will be evaluated including technical examination of their pre-qualification & general terms & conditions based on which the applicant organizations will be shortlisted for next stage i.e opening of financial bid. Then the financial bid of shortlisted organization(s) will be opened & evaluated for L1 offer (lowest offer). After due examination of the comparative statement of the financial offer(s) of the technically shortlisted parties, O/o CCA will accept the L1 offer for per man-day rate and thereafter an offer will be given to all subsequent successful organization(s) i.e., L2 onwards & upto maximum of L7 and/or total of 7 organizations towards accepting / matching the L1 rates. Finally, a panel of organizations who all confirms to accepts the L1 rates will be made for empanelment and recommended for contract signing/ issuance of letter of empanelment.
4. Any Enquiry relating to this Notice can be made at Email-Id: barman.dk@cca.gov.in as per the schedule of dates given below:

S. No.	Activity Description	Date & Time
1.	Date of Publishing/uploading on to Website.	Date: 02.08.2022
2.	Enquire/clarification by	Date: 08.08.2022
3.	Receipt of bids	Date & Time: 30.08.2022, up to 05:00 PM
4.	Opening of bids	Date & Time: 31.08.2022, up to 11:00 AM

(Dilip Kumar Barman)
AC(T) & Director (F&A)

D. Terms & conditions for Empanelment and Appointment as Auditor under Section 18(i) of the Information Technology Act, 2000 and general functional requirements

1. **General:** The empaneled Auditor organization shall comply with every order or direction issued by the Controller within the stipulated period. Also, CCA reserves the right to terminate the Auditor from the empaneled list in case the appointed auditor refuses to conduct the audit as assigned or failed to comply any directions as made by the controller.
2. **Duration of Appointment:** The empanelment as Auditor is for a period of three years. However, if it is found that audit is not conducted as per these terms & conditions, or any lapses are observed on the part of the Auditor or not complying with order or direction issued by the Controller, the empanelment of the Auditor may be terminated. Also, the O/o reserves the right to extend the period of empanelment based on its statutory requirements.
3. **Scope of Audit:** The Auditor will audit the technical and physical infrastructure, and all the facilities of the CA Applicant for issuing a license, or that of a CA for its periodic compliance audit, or renewing a CA license or empanelment as eSign Service Provider (ESP). The audit will be carried out under the IT Act, 2000 shall comprise at least the following:
 - (i) Security policy and planning;
 - (ii) Physical security;
 - (iii) Technology evaluation;
 - (iv) Log analysis
 - (v) Certifying Authority's services administration;
 - (vi) Relevant Certification Practice Statement;
 - (vii) Compliance to relevant Certificate Practice Statement;
 - (viii) Contracts/agreements;
 - (ix) Regulations prescribed by the Controller;
 - (x) Policy requirements of Certifying Authorities Rules, 2000.
 - (xi) WebTrust Requirements for Certification Authorities

(The detailed Audit Criteria for Certifying Authorities is published on CCA website at URL: <https://cca.gov.in/sites/files/pdf/guidelines/CCA-CAAC.pdf>. Any amendment/modification of the Audit Criteria will also be notified on the above website & will be applicable with immediate effect)

- 3.1 The Auditor shall audit the Auditee on manpower issues to ensure availability of skilled and security cleared personnel for running the CA operations. The Auditor shall audit the procedures laid down for identity verification of subscribers against the Identity Verification Guidelines (IVG) for issue of Digital Signature Certificate, for each class as defined in the CPS.
- 3.2 The Auditor shall audit the Primary & Disaster Recovery Sites and other locations, if required (This includes locations where the CA may have established a facility for storing application forms and supporting documents).
- 3.3 The Auditor shall audit adequacy of contracts/agreements for all outsourced CA operations to ensure that the CA maintains the highest trust level in its operations. This should include contract manpower, if any.

4. For all audits, the Auditor will be appointed by the Office of CCA. Prior to commencement of the audit, the Auditor will submit to the Office of CCA, details of the Audit team (name, qualification(s) and period of employment with the Audit agency) as also the Audit schedule. This should include both off-site and on-site phases of the audit. An observer from the office of CCA will be present at the CA site during the audit period.
5. The individual signing/ digitally signing the bid or any other documents submitted in the offer, should submit Copy of Board Resolution and/ or Power of attorney on Stamp Paper for authorize signatory, which authorizes the signatory to commit and submit the offer on behalf of the applicant organization. Bids received without the same are liable to be rejected.
6. The applicant organization should submit unconditional compliance of all general terms & conditions as mentioned in the Notice for Tender. Any form of conditional offer will be out rightly rejected.
7. Office of CCA reserves the right to accept any Quotation/Application in part or full or reject any or all the quotations without assigning any reason.
8. It may be noted that the quoted Man-day rates should not be mentioned in the technical offer. Any deviation on the above leads to reject of offer at any stage.
9. Any successful empaneled organization will be appointed for audit as & when needed and has to comply with the directions as made by the respective nodal officer from O/o CCA. The appointed organization for any audit has to complete the audit in all the respect within a maximum period of 21 days or 84 Man-days, whichever is earlier, failing which O/o CCA may initiate suitable necessary action. This does not include any delays on account of the Auditee.
10. The organization appointed for audit, will be responsible for timely sharing the details of their respective auditor's performing any given audit with the O/o CCA. Minimum one auditor ISO27001 LA qualified and one auditor CISA/DISA/CISSP qualified should be part of any assigned audit.
11. **Code of Conduct:** The Auditor shall abide by the code of conduct regarding relationship with the Auditee as per Rule 32. The Auditor shall give an undertaking that the Auditor is independent of the Certifying Authority being audited and that the Auditor shall not be a software or hardware vendor which is, or has been providing services or supplying equipment to the said Certifying Authority. The Auditor shall not have any current or planned financial, legal or other relationship, other than that of an Auditor and the audited party, i.e. the Certifying Authority. A disclaimer to the effect that there is no conflict of interest such as that between the Auditor's role as an Auditor and any other role that the Auditor's company may perform including providing consultancy to another CA other than the audited party or setting up its own CA, and that there shall be none in the future, shall be submitted by the Auditor to the CCA. The auditor will also sign a Non-Disclosure Agreement with respect to the CA facility being audited.
12. **Submission of Report:** The Auditor shall submit the report within two weeks of completion of audit to the CCA in prescribed format only and not to any other third party, unless required by Law. The auditor will also specifically mention in the report, the actual number of man days attributable to the audit. Auditor should be able to provide Audit Equivalency Certificate in respect of other operating standards such as WebTrust.

13. Fees: The fee will be payable to the auditor by the CA directly. The fee shall be payable at the rate of Rs. _____ per man day. All out of pocket expenses for travel by air, lodging, boarding, local transportation etc. shall be paid to the Auditor by the audited CA at par with eligibility of Class-I Gazetted officers of Govt. of India as per 7th Pay Commission (Level-12, Scale Rs. 78800-209200).

14. Auditor's liability/indemnification: The Auditor shall indemnify the office of CCA against any omissions or negligence in the conduct of the audit.

15. Arbitration: In the event of any dispute between the Auditor and the Auditee, the matter shall be referred to the CCA, whose decision will be final and binding on both the parties. Any dispute, however, between the Auditor and the CCA shall be tried only in the courts of Delhi.

Annexure-II

E. SCHEDULE OF FEES PAYABLE TO THE AUDITOR TOWARDS PER MAN DAY RATE

Work Description	Per Man Day Fees (in Rs.)
Fees (excluding taxes) payable to the Auditor towards per Man Day Rate for conducting the physical and technical infrastructure audits of prospective and licensed Certifying Authorities (CAs).*	

*All out of pocket expenses for travel by air, lodging, boarding, local transportation etc. shall be paid to the Auditor (exclusive of above fee) at par with eligibility of Class-I Gazetted officers of Govt. of India as per 7th Pay Commission (Level-12, Scale Rs. 78800-209200).

Date:

Place:

Signature & Seal
Authorized Signatory