



## Pragathi Krishna Gramin Bank

(A Scheduled Bank established by Government of India:

Sponsored by: Canara Bank)

Head Office: Ballari

### REQUEST FOR PROPOSAL [RFP]

#### FOR

**“SELECTION OF SYSTEM INTEGRATOR FOR MAINTENANCE OF FINACLE  
CORE BANKING SOLUTION, ALLIED APPLICATIONS, DELIVERY  
CHANNELS, FACILITIES MANAGEMENT AND OTHER SERVICES AT  
DATA CENTER, DISASTER RECOVERY CENTER, BRANCHES AND  
OFFICES”**

#### Of

Two Regional Rural Banks (RRBs) Sponsored by Canara Bank viz:

**Pragathi Krishna Gramin Bank**

Head Office, Ballari, Karnataka

**&**

**Kerala Gramin Bank**

Head Office, Malappuram, Kerala

RFP NO: PKGB: CBS: RFP:01:2018-19

**Pragathi Krishna Gramin Bank**

Head Office: IT Department 32, Sanganakal Road,  
Gandhinagar, Ballari– 583103 Karnataka

**Date: 25-04-2018**

### **Bid Details in Brief:**

<b>Sl. No.</b>	<b>Description</b>	<b>Details</b>
<b>1</b>	RFP No. and Date	PKGB:CBS:RFP:01:2018-19, dated :- 25-04-2018
<b>2</b>	Brief Description of the RFP	Selection of System Integrator for maintenance of Finacle Core Banking Solution, Allied Applications, Delivery Channels, Facilities Management and other services at Data Center, Disaster Recovery Center, Branches and Offices of the Banks (two RRBs sponsored by Canara Bank)
<b>3</b>	Bank's Address for Communication and Submission of Tender	<b>General Manager</b> Pragathi Krishna Gramin Bank Canara Bank RRB, CBS Project Office, LIC "Jeevan Soudha" Building, First Floor, 19/19, 24 <sup>th</sup> Main Road, 1 <sup>st</sup> Phase, J P Nagar, Bengaluru- 560078
<b>4</b>	Contact Details	Tel: 080-26087539/ 23 Fax: 080-26649992 E-mail: <a href="mailto:apmgroupp@pkgbank.com">apmgroupp@pkgbank.com</a>
<b>5</b>	Date of Issue	25-04-2018
<b>6</b>	Last Date of Submission of Queries for Pre-Bid	03-05-2018
<b>7</b>	Pre-Bid Meeting	05-05-2018
<b>8</b>	Last Date of Submission of Bids	19-05-2018 up to 3pm
<b>9</b>	Date and Time of Opening of Conformity to Eligibility Criteria	19-05-2018 at 3:30pm
<b>10</b>	Date and Time of Opening of Technical/ Indicative Commercial Bid	Will be intimated at a later Date
<b>11</b>	Application Fees (Non-Refundable)	INR 50,000 (Rupees Fifty Thousand Only) plus INR 9,000/- (GST @ 18%)
<b>12</b>	Earnest Money Deposit (Refundable)	INR 1,50,00,000 (Rupees One Crore Fifty Lakhs Only)

**This document can be downloaded from Bank's website <http://www.pragathikrishnabank.com/>. The bidders should pay the Application Fee given above for the complete tender document by means of DD drawn on any scheduled Commercial Bank for the above amount in favor of Pragathi Krishna Gramin Bank, payable at Ballari on or before date of submission of the Bid.**

## **Disclaimer**

The information contained in this Request for Proposal ("RFP") document or information provided subsequently to bidders or applicants whether verbally or in documentary form by or on behalf of Pragathi Krishna Gramin Bank and Kerala Gramin Bank (hereinafter termed as "Banks" or "Bank"), is provided to the Bidder(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 the Banks to any parties other than the applicants who are qualified to submit the bids (hereinafter individually and collectively referred to as "Bidder" or "Bidders" respectively). The purpose of this RFP is to provide the Bidders with information to assist the formulation of their proposals. This RFP does not claim to contain all the information each Bidder require. Each Bidder may conduct its own independent investigations and analysis and is free to check the accuracy, reliability and completeness of the information in this RFP. The Banks make 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 updating, expansion, revision and amendment. It does not purport to contain all the information that a Bidder require. The Banks do not undertake to provide any Bidder 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.

The Banks in their absolute discretion, but without being under any obligation to do so, update, amend or supplement the information in this RFP. Such change will be published on the Bank's Website ([www.pragathikrishnabank.com](http://www.pragathikrishnabank.com)) and it will become part and parcel of this RFP.

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

## **Abbreviations used in this Document**

1.	AAA	Authentication Authorization Accounting Server
2.	ADC	Application Delivery Controller
3.	AMC	Annual Maintenance Contract
4.	ARA	At Risk Amount
5.	BFSI	Banking Financial Services and Insurance
6.	BG	Bank Guarantee
7.	BOD	Beginning of Day
8.	BOM	Bill of Material
9.	CTS	Cheque Truncation System
10.	DC	Data Center
11.	DD	Demand Draft
12.	DIT	Department of Information Technology
13.	EFRM	Enterprise Fraud Risk Management
14.	EMD	Earnest Money Deposit
15.	EOD	End Of Day
16.	FM/FMS	Facilities Management Services
17.	GST	Goods & Service Tax
18.	HO	Head Office
19.	KGB	Kerala Gramin Bank
20.	LAN	Local Area Network
21.	LD	Liquidated Damages
22.	MAF	Manufacturer Authorization Form
23.	MTBF	Mean Time Between Failure
24.	MTTR	Mean Time to Restore
25.	NDR	Near-site Disaster Recovery solution (Bank plans to implement in future)
26.	NEFT	National Electronic Funds Transfer
27.	NI Act	Negotiable Instruments Act
28.	NLBS	Network Load Balancing Service
29.	NOC	Network Operations Center
30.	NPCI	National Payments Corporation of India
31.	OEM	Original Equipment Manufacturer
32.	OS	Operating System
33.	PBG	Performance Bank Guarantee
34.	PDI	Pre-Delivery Inspection
35.	PKGB	Pragathi Krishna Gramin Bank
36.	PO	Purchase Order
37.	PSU	Public Sector Undertaking
38.	RFP	Request for Proposal [Inter alia the term 'Tender' is also used]
39.	RRB	Regional Rural Bank

40.	RTGS	Real Time Gross Settlement
41.	SCB	Scheduled Commercial Bank
42.	SFMS	Structured Financial Messaging System
43.	SI	System Integrator
44.	SOP	Standard Operating Procedure
45.	NAC	Network Access Control

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## **1. Introduction:**

### About the Banks:

Canara Bank has sponsored two RRBs operating in two states, viz. 1) Karnataka and 2) Kerala. In Karnataka, Pragathi Krishna Gramin Bank (PKGB) with Head Office at Ballari operating in 11 Districts of Karnataka with 655 Branches, 2 Service Units & 10 Regional Offices, Kerala Gramin Bank (KGB) with Head Office at Malappuram operating in entire state of Kerala, with 630 Branches, 1 Service Unit & 10 Regional Offices. The Banks have Implemented Core Banking Solution with Finacle Software and common DC & DRC and Project Office in Bengaluru on 50:50 expense sharing basis.

KGB has authorized PKGB to act on its behalf to handle the complete RFP process for selection of SI. PKGB will coordinate for smooth implementation of the Project and shall liaise with the Vendors, on behalf of PKGB and KGB and the vendors is jointly and severally responsible and liable to PKGB and KGB respectively.

The Banks' Data Center (DC) is located in Bengaluru and Disaster Recovery Center (DRC) at Mumbai. The DC and DRC are connected to the Branches, Regional Offices and Head Offices through Wide Area Network. The entire network uses a mix of MPLS/Leased Lines / VSAT connectivity through BSNL / Airtel / Tata etc. The Banks have Project Office & Network Operation Centre (NOC) in the Project Office, Bengaluru to administer and monitor IT Infrastructure and operations. Bank has an existing System Integrator M/s Wipro Ltd., as a Single Point of Contact for CBS and allied applications / services.

The Banks have issued around twenty lakh debit cards each and together implemented around 600 ATMs, integrating with Canara Bank ATM Switch and Card Management Infrastructure.

## **2. Definitions:**

- 2.1. 'Bank' means, unless excluded by and repugnant to context or the meaning thereof, shall mean 'Pragathi Krishna Gramin Bank', described in more detail in paragraph 1 above and which has invited bids under this Request for Proposal on behalf of both PKGB and KGB and shall be deemed to include its successors and permitted assigns.
- 2.2. 'Banks' means Pragathi Krishna Gramin Bank (PKGB) and Kerala Gramin Bank (KGB) and shall be deemed to include their successors and permitted assigns.
- 2.3. 'RFP' means this Request for Proposal prepared by Pragathi Krishna Gramin Bank for "Selection of System Integrator for Maintenance of Finacle Core Banking Solution, Allied Applications, Delivery Channels, Facilities Management and other services at Data Center, Disaster Recovery Center, Branches and Offices"
- 2.4. 'Bidder' means a vendor submitting the proposal in response to this RFP.
- 2.5. 'Contract' means the agreement signed between successful Bidder and the Banks at the conclusion of bidding process, wherever required.
- 2.6. "Successful Bidder"/ L1 Bidder" means the Bidder who is found to be the lowest Bidder after conclusion of the bidding process, subject to compliance to all the conditions of the RFP, etc.

### 3. About RFP

This **Request for Proposal** document encompassing Annexure & Appendices and subsequent Addenda & Corrigenda (hereinafter referred to as “**RFP**” or “Tender”) has been prepared solely for the purpose of enabling Pragathi Krishna Gramin Bank (hereinafter referred to as “Bank”), on behalf of two (2) RRBs i.e., (1) Pragathi Krishna Gramin Bank (PKGB) and (2) Kerala Gramin Bank (KGB) sponsored by Canara Bank, to solicit proposals from qualified Bidders for Selection of System Integrator for Maintenance of Finacle Core Banking Solution, Allied Applications, Delivery Channels, facilities management and other services at Data Center, Disaster Recovery Center, Branches and Offices of the Bank, as per the scope of work described in detail in Section 9- “Detailed Scope of Work” of the RFP document.

The objective of this RFP is:

1. **Scope Definition:** To request the eligible Bidders with the understanding of the banks requirements aiming for Selection of System Integrator for Maintenance of Finacle Core Banking Solution, Allied Applications, Delivery Channels, Facilities Management and other services at Data Center, Disaster Recovery Center, Branches and Offices.
2. **Background Information:** To provide the Background information on existing Business application and IT infrastructure landscape and services provided to support the Business functions and operations.
3. **Proposal Request:** To invite detailed proposals from Bidders as per the objectives defined in this RFP and adhering to stipulated terms & conditions.
4. **Bidder Selection:** To shortlist Bidders for comprehensive Technical & Commercial evaluations and award the contract to the selected Bidder, taking into considerations evaluation parameters defined in the RFP.

The successful Bidder shall be single point of Contact for all products and services offered as described in the Scope of Work, and will be fully responsible for overall deliveries, Project Management and co-ordination as specified in sections below.

**The period of the contract will be 5 years from the completion of Transition period, with a provision of extension for another 5 years subject to mutually agreed terms and conditions. There will be a Transition period of 6 months from the effective date mentioned in the PO to take over the support of in-scope applications from the existing vendors. The Contract Period of 5 years will start after the Transition period. The Bidder is required to provide FM support for all the in-scope applications and infrastructure throughout the tenure of the contract.**

### 4. Objective

The Bank proposes to select a System Integrator for maintenance of Core Banking Solution, Allied Applications, Delivery Channels and other services & Facilities Management Services at Data Center, Disaster Recovery center, Branches and Offices in both the RRBs sponsored by Canara Bank as per the Terms & Conditions, Technical Specifications and Scope of Work described elsewhere in this document.

### **Overview of the Selection Process:**

The Bidder Selection Process would comprise of the following Stages

- i. **Issue of RFP:** Issue of Request for Proposal document to bidders for Selection of System Integrator for Maintenance of Finacle Core Banking Solution, Allied Applications, Delivery Channels, Facilities Management and other services at Data Center, Disaster Recovery Center, Branches and Offices.
- ii. **Pre-Bid Meeting and Query Resolution:** Bank shall conduct a Pre-bid Meeting with the Prospective Bidders who express interest in the RFP, if required by the Bidders. The objective of this meeting would be to address / discuss queries from Bidders and provide any further information, if required.
- iii. **Issue Addendum to RFP (If required):** Issue of addendum / Amendments if required (to Original RFP). This will be based on the clarifications provided to the Bidders on the queries raised / received or any new requirements, Terms & Conditions which Bank may want to issue at a later Stage.
- iv. **Submission of response:** Bidders will submit a response to the RFP as per the checklist and the format (Annexures and Appendices) provided in the RFP. The Response to the RFP from the Bidder shall include Eligibility, Technical & Commercial Proposals.
- v. **Presentations:** Bank shall call the Bidders for formal Presentations on the Product, Methodology and Service Model proposed by the Bidder.
- vi. **Bidder Evaluation:** During this stage, Bank will evaluate the response to the RFP based on the criteria Specified in the sections below.
- vii. Bank may require certain clarifications during Evaluation and the respective Bidder should provide the response as per timelines defined by the Bank. Detailed evaluations will enable Bank to identify eligible Bidder.
- viii. **Award of Contract:** The Selected Bidder would be awarded the contract for “Selection of System Integrator for Maintenance of Finacle Core Banking Solution, Allied Applications, Delivery Channels, Facilities Management and other services at Data Center, Disaster Recovery Center, Branches and Offices”

## 5. Eligibility Criteria

Interested Bidders, for the said RFP in the Bank and meeting the following Eligibility Criteria may respond:

Sl. No.	Eligibility Criteria	Supporting Documents
	<b>Bidder's Experience</b>	
<b>1</b>	The Bidder should be a Government Organization / PSU / Limited Company / Private Limited Company under companies Act, 1956 Or later in India.	Certificate of Incorporation / Certificate of commencement.
<b>2</b>	The Bidder should have been in existence for a minimum period of 5 years in India.	Certificate of Incorporation / Certificate of commencement.
<b>3</b>	The Bidder should have a minimum turnover of Rs. 100 Crores per annum in each of the last three financial years In India.	Audited Financial statements for the financial year 2014-15, 2015-16 and 2016-17 AND CA Certificate indicating the sales Turnover for the previous financial years mentioned above.
<b>4</b>	The Bidder should have a positive net worth in the last three Financial years in India. Net worth is to be calculated as follows: Capital Funds (Paid up equity capital + Paid up preference shares + Free reserves) – (Accumulated balance of loss + Balance of deferred revenue expenditure + Other intangible assets).	Audited Financial statements for the financial year 2014-15, 2015-16and 2016-17 AND CA Certificate indicating the net-worth for the previous financial years mentioned above.
<b>5</b>	The Bidder should not have been black-listed by the Bank, any Public-Sector Bank, RBI/NHB or IBA as on the date of submission of the bid. Bidder must certify to that effect.	Self- Declaration on Bidder's letter head
<b>6</b>	Bidder should have service/support infrastructure at Mumbai, Bengaluru and major centers where the Banks have presence, including DC, DRC and Project office, and should be able to provide efficient and effective support	Self- Declaration on Bidder's letter head
<b>7</b>	The Bidder shall be the authorized partner or OEM of each of the key solutions (Finacle CBS, Mobile Banking, Internet Banking, ALM, AML) implemented / supported / managed.	Letter from each solution OEM authorizing the Bidder to participate in the RFP.
<b>8</b>	The Bidder should have Implemented/Managed/supported Finacle Core Banking solution in at least 1(one)	Experience certificate in the relevant Bank's letter head

Sl. No.	Eligibility Criteria	Supporting Documents
	scheduled Commercial Bank of India with minimum 200 branches in India.	
9	The Bidder should have prior experience of managing/supporting IT infrastructure at DC and DRC, including CBS Servers, CBS Storage, Network and Security components in a minimum of 2 scheduled commercial Banks in India with minimum of 750 branches per Bank in India	Relevant Credential letters OR Purchase Order with the Bank's confirmation for having executed the Purchase Order
10	The Bidder should have at least one of the following accreditations/ certifications which is valid as on submission date of this RFP A) ISO 9000 / 9001 B) ISO 27001:2005 or equivalent C) ISO 27001:2013 D) CMMI Level 5	Certificate copy to be provided
11	The Bidder should have done management of Core Network and Security infrastructure in 2 scheduled commercial Banks in India including branch network, with a minimum of 750 branches per Bank in India.	Relevant Credential letters OR Purchase Order with the Bank's confirmation for having executed the Purchase order.
12	Must have experience in integration and support of other surround applications that the Bank has currently implemented like AML, ALM, Net Banking, Mobile Banking, FI gateway solution, SFMS with Finacle / any leading Core banking solution in India.	Relevant Credential letters OR Purchase Order with the Bank's confirmation for having executed the Purchase order to the satisfaction of the bank.
13	Must have capability in integrating and supporting other surround applications that the Bank may implement in future like LOS, DMS, Risk management solution, EFRM with Finacle or any leading Core banking solution in India	Self- Declaration on Bidder's letter head
14	Bidder needs to submit a good project management and governance certificate from at least 1(one) scheduled Commercial Bank in India with minimum 200 branches in India, where the Bidder has managed/supported Core Banking Solution	Bidder needs to submit the credential in the format specified in Annexure 17
15	The Bidder should have back lining Agreement with OEM, which is mandatory for all the applications proposed / taken handover in the RFP	Bidder needs to submit a self-declaration at the time of bid submission however the agreement copy needs to submit after L1 declaration.

Sl. No.	Eligibility Criteria	Supporting Documents
	<b>OEM's Experience</b>	
<b>1</b>	The OEM should not have been black-listed by the Bank, any Public-Sector Bank, RBI/NHB or IBA as on the date of submission of the bid. OEM must certify to that effect.	Self- Declaration on OEM's letter head

**NOTE:**

1. In case of business transfer where Bidder has acquired a Business from an entity ("Seller"), work experience credentials of the Seller in relation to the acquired Business may be considered
2. Bidders need to ensure compliance to all the eligibility criteria points.
3. In case of corporate restructuring of a company, certificate of incorporation, financial statements, credentials prior to such restructuring could be furnished
4. Proposed application implementation experience need not be in the current product version proposed.
5. Scheduled commercial Banks do not include regional rural Banks and cooperative Banks.
6. Scheduled commercial Banks refer to public sector / scheduled commercial Banks in India only.
7. Branches mentioned are per Bank and not cumulative across Banks.
8. While submitting the bid, the Bidder is required to comply with inter alia the following CVC guidelines detailed in Circular No. 03/01/12 (No.12-02-6 CTE/SPI (I) 2 / 161730 dated 13.01.2012): 'Commission has decided that in all cases of procurement, the following guidelines may be followed:
  - 1) In a RFP, either the Indian agent on behalf of the Principal/OEM or Principal/OEM itself can bid but both cannot bid simultaneously for the same item/product in the same RFP. The reference of 'item/product' in the CVC guidelines refer to 'the final solution that bidders will deliver to the customer'.
  - 2) If an agent submits bid on behalf of the Principal/OEM, the same agent shall not submit a bid on behalf of another Principal/OEM in the same RFP for the same item/product.
9. The final solution mentioned above refers to the solution based on the scope given in this RFP.
10. The decision of the bank shall be final and binding in this regard. Any deviations will be ground for disqualification.

## 6. Participation Methodology

1. In a tender either the partner / distributor / System Integrator on behalf of the OEM or OEM itself can bid but both cannot bid simultaneously for the same item / product in the same tender.
2. If a partner / distributor / System Integrator bids on behalf of the OEM, the same partner distributor / System Integrator shall not submit a bid on behalf of another OEM in the same tender for the same item / product.
3. In the event partner / distributor / System Integrator fails in their obligations to provide the product upgrades (including management software upgrades and new product feature releases) within 30 days of release / announcement, the OEM should assume complete responsibility on behalf of the partner / distributor / System Integrator to provide the same to the bank at no additional cost to the bank and install the same at the Banks premises.

## 7. Overview of Current Banks' IT Landscape

The current IT landscape of the Banks can be broadly classified as per the diagram below



### 7.1 Applications:

The bank has several applications managed either by the System Integrator or by a third party vendor. The indicative details of existing applications along with location of hosting is mentioned in Appendix K. The DC is hosted in Bengaluru and the DRC is hosted in Mumbai.

The Banks' CBS Project Office is located at Bengaluru. The end to end support for all application related incidents, patch management, application helpdesk management etc. is managed from the Project Office by the current System Integrator. However L3 category issues are resolved by the product OEM vendor as and when required.

### 7.2 Network Operations Center:

The network operations center is managed by the System Integrator. NOC management is based on a centralized model with IT resources located at the Project office, Head Office and other locations, Regional offices (20 locations), DC, DRC and Branches.

### 7.3 Security Operations Center:

At present Banks are not having Security Operation Center. However, the below security components are already implemented and managed / under implementation by the System Integrator:

- Application Delivery Controller with Web-Application firewall management
- Antivirus management

- Proxy Server
- SIEM (HP ArcSight)
- Firewalls
- Intrusion Prevention System
- Management of other security infrastructure

#### 7.4 IT Infrastructure Management for DC/DR

- There are on-site resources for operating system (OS) management and database administration. All L1/L2 level resources are deployed on-site and L3 support is on- call and on need basis.
- The LAN network within the DC/DR (up till server farm switch) is managed by System Integrator
- Backup (independently at DC and DR) is centralized for CBS and ALM.
- SI is responsible for taking the back up from DC and DR.
- The application management services for various applications are provided by multiple vendors. However, System Integrator is responsible for managing the underlying infrastructure and database administration of Application mentioned in Appendix K.

## 8. Scope of Work

### 8.1 Brief Scope of work

The scope of work for the Bidder would include but not limited to maintain and support of the Finacle CBS version (7.0.18) and other in scope application, hardware and network for the tenure of the contract at DC, DRC, Branches and other offices. The broad Scope of work (not limited to) for the Bidder is as below:

- Transition from the existing SI and run the current setup AS – IS.
- Facilities Management Services for all the Banks' existing applications and infrastructure
- Monitoring and Management shall be done on 24 x 7 basis for all the three layers of Application (including middleware), Database and Hardware using the existing available tools.
- Program Management of the entire Infrastructure, implementation and facility management
- Upgrade of Oracle Database version from 11gR2 to 12c for all Finacle (version 7.0.18) & AML databases (Production/DR/MIS/CSIS/Non-Production).
- Certification and Deployment of Finacle (version 7.0.18) binaries on AIX v7.x and with latest TL version
- Manage / support the required hardware, middleware applications and software at DC, DR.
- Benchmarking of Finacle CBS version 7.0.18, considering Banks' existing infrastructure and future growth requirements
- Bidder needs to perform Performance assessment periodically for CBS, Internet Banking, Mobile Banking, Channels, Server, and Database and submit the report to the bank after doing all assessments. Bidder and bank needs to analyze the report and fix all the gaps, issues, bugs, problems reported. It will be the responsibility of the Bidder to coordinate between OEM and third party to resolve the issues reported. Bidder needs to close the issues within 30 days once the same is reported by the bank otherwise penalty will be applicable. The Servers, storage and database performance assessment needs to be done on a half yearly basis
- Conduct periodical DR Drills (a minimum of one in every Calendar Quarter) for all applications viz., Core Banking Solution and non-Core Banking Solutions in consultation with the Bank. The period of the DR Drill will be decided by the bank.

The above is only an indicative list of tasks expected from the SI. The scope extends to all that is essential to discharge the role of a System Integrator, whether or not stated expressly, except to the extent so explicitly excluded.

## 8.2 Liaison with existing Bank vendors/OEMs

The Bidder is required to liaise with the vendors of all existing applications, interfaces, delivery channels and network management of the Bank. The Bidder is expected to take the responsibility of managing all the applications, interfaces, infrastructure and coordinate with the Banks' vendors to meet required SLAs in addition to providing helpdesk, facility management support, infrastructure support and system/database administrative services.

## 8.3 Manuals/Documentation

Bidder has to follow worldwide practice and international standard for documentation for the entire system development life cycle. The documents and manuals should be kept up to date with proper version control during the entire contract period. Bank may require the Bidder to deliver the following documents in hard and soft copy to Bank during development and implementation of the solution.

1. Detailed System Requirements Specification Document
2. High Level architecture document
3. High Level Design document
4. Low Level Design document
5. Deployment plan document
6. Change management methodology document
7. Security guide
8. User management guide
9. Release notes
10. Impact matrix

## 9. Detailed Scope of Work

A detailed description of the envisaged scope is enumerated below. However, the Bank at its discretion reserves the right to change the scope and phases of the RFP considering the size and variety of the requirements and changing business conditions and requirements.

### 9.1 Transition

Bidder needs to complete the transition of in-scope infrastructure and services within 6 (Six) months from the effective date mentioned in the Purchase Order given by the Bank or 31<sup>st</sup> March 2019, whichever is earlier. Transition involves one-time activities required to take responsibility for the services, including applications and their customizations, infrastructure, processes, assets, facilities, technology and other knowledge.

The Bidder should ensure the smooth transfer of the services so as to continue to meet Banks's business requirements in a way that there are no unplanned business interruptions. The Bidder will be responsible for planning, preparing and submitting a Transition Plan to bank. Bidder will fully cooperate and work with any and all Banks' Third-Party Contractors/Vendors/Consultants in a manner that will result in a seamless transfer of Services, and such transfer of Services shall be in accordance with the Transition Plan.

During the Transition Period, Bidder will be responsible for implementation of the Governance Model with concurrence of the bank. Bidder will identify suitable personnel for the roles defined under the governance structure for implementation. Bidder will also be responsible for appointing its representative members to the newly established governance forums.

Bidder will have the sole responsibility for implementation of their delivery organization structure. All preparation and planning for such implementation must be completed during the Transition Period. Bidder needs to submit the transition plan within 7 days from the effective date mentioned in the PO.

The Bidder should provide a detailed approach covering how and when it will implement the transition activities, describing how it will transition services from Banks' current environment. The Bidder will include a project plan ("Transition Project Plan") indicating the tasks, timeframes, resources, and responsibilities associated with the transition activities. Bidder has to develop a detailed transition plan and deliver the same, covering at least the following key areas:

- Transition Schedules, Tasks and Activities
  - Transition activities
  - Operations and Support
  - Maintenance
- Resource Requirements
  - Software Resources
  - Hardware Resources
  - Facilities
  - Personnel
  - Other Resources
- Relationships to the Banks' other Teams / Projects
- Management Controls
- Reporting Procedures
- Risks and Contingencies- Key Risks, issues, dependencies and mitigation plans.
- Transition Team Information
  - Transition Impact Statement
  - Review Process
  - Configuration Control
- Plan Approval
- Describe tools, methodologies and capabilities of the teams deployed for transition.

Bidders are required to ensure that their framework for transition of proposed services from Banks' IT team/current SI should include the following phases and other allied activities:

<b>Service Requirement</b>	<b>Description</b>
<b>Initiation</b>	Kick off the transition based on the agreed transition plan
<b>Planning</b>	This phase takes care of all the planning activities required for successful transition of services
<b>Execution</b>	Execute the transition of services while ensuring near zero risk and no disruption to business
<b>Closure</b>	Create all the transition documents and submit to the client for review and sign off and start off with Scope of the RFP.

Bidder needs to take transition of below mentioned applications and infrastructure (not limited to)

- Core banking solution, including its customization code and Interfaces
- Internet Banking, including its customization code and interfaces
- Mobile banking, including its customization code and interfaces
- Anti-Money Laundering, including its customization code and interfaces
- Asset Liability Management, including its customization code and interfaces
- Enterprise Management System
- Active Directory
- DC and DR Hardware (Servers, Storage, Network) and Databases
- Network and Security at DC, DR, Branches, HO/RO/Project Office
- Branch Peripherals
- Helpdesk and NOC
- Backup Management and SMS gateway
- PFMS
- Bio-metric
- SFMS
- Virtualization at DR and DC
- Data Archival Solution
- Obtain necessary knowledge transfer to maintain/ enhance/ fix customized code
- Video Conference
- Infrastructure & Application changes / upgrades as a result of ongoing initiatives (Replacement of Cisco Blade Servers, ADC/WAF (Web Application Firewall) for Internet Banking, Replacement of ASA Firewall, AAA Server, Core Switch and Proxy Server)

As part of Transition activities, the Bidder needs to ensure the following –

- Complete hands-on Knowledge Transfer for all relevant Banks' applications, including but not limited to the following –
  - Application & Integration Architecture
  - Application set-up, installation, upgrades
  - Environment details, including Prod and Non-Prod
  - Configurations
  - Customizations (completed, in-progress, planned)
  - Change Requests (completed, in-progress, planned)
  - Debugging and fixing approach

- Batch processing programs, configurations and environment details
- Interfaces (internal systems, external systems)
- Reports (batch, on-demand)
- Application management scripts (start / stop / status / monitor)
- Master / Configuration data used by respective application
- Take-over and validation of all source code required to maintain and support the applications (covering product customizations, interfaces, reports, etc.)
- All support activities including application details required to deliver the services
- Configuration Management with latest source code, sanity tested and synchronized in Development / Test environment
- Existing gaps / issues and proposed resolution / improvements and any other relevant aspect of each application
- Complete hands-on Knowledge Transfer for all relevant Banks' Infrastructure, including but not limited to the following –
  - Infrastructure Architecture, including Server, Storage, Network and Security Architecture
  - Environment details
  - Hardware components (Servers, Storage, Networks, Peripherals)
  - Software Licenses
  - Patches and Upgrades required
  - Track End of Support for all relevant Hardware and Software components and notify Bank in case of any renewals, AMC/ATS/ New procurement/ replacement required
  - Service Delivery processes and SLAs (Incident Management, Availability Management, Capacity Planning, IT Security Management, Backup and Recovery, Database Management, Storage Management, E-mail and Collaboration Services, File and Directory Services, Tape Operations, Network Management)
  - EMS tool configurations and reports
  - IT Security policies and procedures
  - End user support
  - Change Requests (completed, in-progress, planned)
  - Existing gaps / issues and proposed resolution / improvements
  - and any other relevant aspect for each infrastructure component
- Complete hands-on Knowledge Transfer for all required Processes, Policies and Procedures at the Bank, including but not limited to the following –
  - Management and Governance process
  - Status reporting, Communication and Escalation process

- Service request procedures for Infrastructure requirements
- Regulatory aspects that impact IT operations

The Bidder will be provided details of IT applications infrastructure from the respective implementation partner(s) as and when new applications are implemented, within a period of 30 days from the commencement of implementation of new applications / systems.

An indicative list of applications to be deployed in near future is as follows, for which the Bidder needs to have the capability of integrating with and supporting the respective application:

- Loan Origination System (LOS)
- Document Management System (DMS)
- Integrated Risk Management Solution (IRMS)
- Customer Relationship Management (CRM)
- Automated DR Solution
- Application Performance monitoring
- WAN optimizer
- SD WAN Solution
- EFRM
- NDR

However, in future, if Bank implements new projects, Bidder needs to agree to provide all necessary support services, including AMC & ATS for managing the applications & infrastructure.

The Bidder is further required to manage the new IT Infrastructure. Post hand-holding, the Bidder is also expected to provide Application and Infrastructure services as defined in the RFP for the added IT Infrastructure.

## 9.2 Upgrade of Oracle version from 11g to 12C (Supported Version)

Bank is currently running CBS (Finacle version 7.0.18) and AML solution on Oracle 11g R2, therefore CBS and AML databases (including Production/UAT/MIS/DR/CSIS/Dev/Test) need to be upgraded to Oracle 12C database.

1. Bidder needs to provide compatibility certification of Finacle 7.0.18 on Oracle Database 12C (latest version) from Finacle OEM
2. Bidder needs to provide compatibility certification of AML on Oracle Database 12C from AML OEM.
3. Bidder has to study the existing database setup and formalize a version upgrade strategy which needs to be approved by the bank.
4. Bidder will be responsible for installing Oracle 12C binary in all the environments mentioned above.
5. Patch reconciliation needs to be done with Oracle for 12C.
6. Upgrade version of the Oracle client in Finacle application server and database in Production/Non-Prod/MIS/DR/CSIS etc. from 11g to 12C.
7. Bidder is responsible to perform complete Sanity Test of the application, EOD / BOD batch jobs and product/customization reports for timing and performance and if any issues reported, Bidder needs to resolve them before implementing in production.
8. Bank will be doing UAT for the application and report issues to Bidder and Bidder needs to resolve the same within a defined timeline.

### 9.3 Finacle certification on AIX 7.x with latest TL

Bank is running on IBM AIX 7.x version; however, the Finacle binaries being used currently are compiled on IBM AIX 6.1 version.

1. Bidder needs to provide the compatibility certification of Finacle 7.0.18 on IBM AIX 7.x version with latest TL from Finacle OEM.
2. Bidder needs to provide Finacle binaries which are certified and compiled on IBM AIX 7.x version
3. Bidder needs to formulate a proper upgrade plan of the CBS Production and non-Production servers to IBM AIX 7.x version.
4. Bidder needs to do the upgrade of all IBM AIX CBS production and non-Production servers to IBM AIX 7.x version
5. All the System Integration Testing (SIT) needs to be done by the Bidder during this phase
6. UAT sanity checking will be done by the Bank after Bidder deploys SIT tested and OEM certified build
7. Bidder needs to coordinate with Bank testing team and extend full support during testing and resolve all the issues and bugs reported during the testing in consultation with Finacle OEM.

### 9.4 Benchmarking

1. Performance Benchmarking by System Integrator
  - a. It is mandatory for the Bidder to perform the benchmark for the purpose of this project, incorporating the proposed technology architecture for the Core Banking Solution. The Bidder will have to do a benchmark based on the hardware and sizing already running in the Bank for CBS. The Benchmark needs to be validated & reported by reputed independent third party who has the experience of reporting performance benchmark specific to the Core Banking Solution managed by the Bidder with due concurrence of the bank. This independent third party needs to be engaged by the Bidder.
  - b. The Bidder will have to perform a product benchmark at the benchmarking center as identified by the Bidder in the presence of Bank employees and its appointed representatives. The objective of this exercise is to demonstrate the maximum capabilities of the current hardware and sizing in terms of number of the transactions per second (TPS), user concurrency, where all the debit and credit legs of the transaction would be considered as a single transaction, along with the necessary number of concurrent transactions, total number of transactions in a 4 hour window, number of accounts, time taken for End of Day, batch processing and meet the required response time as expected by the Bank. This benchmark should be carried out on the current hardware, operating system, application version and database. The benchmarking exercise should be successfully completed as per the timelines defined in section 11 of the RFP.
  - c. Bank will bear all the necessary costs towards the bank employee visit to the benchmarking site.
  - d. Any expenses incurred toward performing the benchmark and travel, stay, etc. incurred for the Bidder officials would be borne by Bidder and under no circumstances would the same be reimbursed to the Bidder by the Bank. The Bidder is expected to factor the all expenses linked to the benchmarking in the Bill of Materials.

2. Bidder has to study the load compute-wise and during benchmarking, Bidder needs to generate same load according to the load mix and growth projections provided by the Bank and show the maximum TPS the current infrastructure can handle.
3. All the benchmarking activities have to be done keeping in consideration all types of customizations done on the current version of CBS at the bank.
4. During Benchmarking, the load generated by the Bidder has to be in accordance with the transaction mix and the current setup of the bank. Sign-offs should be taken from the Banks.
5. Bidder needs to do benchmarking of both the Banks' infrastructure as per the transaction mix signed off by both Banks

## 9.5 Mobile Banking Version Upgrade

1. Currently the Banks use Mobile Banking solution provided by M/s FSS version 4.0, which needs to be upgraded to the new version 6.0 released by the vendor.
2. Bidder needs to factor all the upgrade efforts; however, for any hardware and software augmentation, the Bidder needs to provide details to the Banks and Banks will procure the same after validating the request for hardware & software augmentation.
3. During the process of validating any additional hardware or software requirements, the Banks have the right to ask the Bidder for specific sizing methods, details & justifications where required, and it is the Bidders responsibility to ensure that all the required details are shared & explained to the Bank to enable the Bank make the necessary arrangements.
4. The Bidder will be responsible for Implementation (installation, set-up, hardening, configuring, provisioning, testing and all standard implementation activities) of the hardware and software procured by the Bank in this regard
5. Bidder has to mandatorily involve OEM in the upgrade and all the upgrade activities has to be done by the OEM only.

## 9.6 Facilities Management Services

1. The Bidder will be the Single Point of Contact and responsible for Facilities Management Services, AMC and ATS for all components, hardware, software, etc., and the setup which the Bidder will be taking over as part of Transition activity. While bidding for providing Facilities Management Services, the products and solutions proposed by the Bidder by way of this RFP should come with warranty as mentioned in the RFP. Bidder needs to quote for AMC and ATS for all in-scope applications and hardware in Annexure 20 from the date of expiry as mentioned in Appendix K.
2. The Bank also plans to undertake certain upgrades / initiatives, which the Bidder needs to cover as part of Facilities Management Services, as given below:

### a. Cisco Blade Server Replacement –

Currently there are many Cisco Blade Servers (refer Appendix K for details), which are in the process of being replaced by equivalent Intel hardware with a virtualized environment. Associated applications and software running on these servers will also be migrated as part of this initiative.

Once this migration has completed, the Bidder needs to provide required FM Services for all related Infrastructure and Applications.

- b. FMS after other planned initiatives given below:
- i. ADC / WAF (Web Application Firewall) for Internet Banking
  - ii. AAA Server (replacement of existing AAA Server, as given in Appendix K)
  - iii. Firewall (replacement for existing firewalls, as given in Appendix K)
  - iv. Proxy Server (replacement for existing Proxy server, as given in Appendix K)
  - v. Core and other Switches (L2 & L3) at DC & DRC (replacement for existing Switches, as given in Appendix K)

It must be noted that AMC/ATS for the solution components as part of the above planned initiatives may be handled directly by the Bank or through the Bidder or another vendor. The approach to handle the same will be decided by the Bank at a later point in time.

3. The Bank intends that the contract which is contemplated herein with the Bidder shall be for a period of five years (5 years) from the completion of Transition period and shall cover all Deliverables and Services required to be procured or provided by the Bidder during such period of contract.
4. The Bidder shall consider and envisage all services that will be required in the maintenance of the system.
5. Application maintenance would include installation, re-installation, troubleshooting, performance tuning, performance monitoring, applications of patches, bug fixing, improvements in presentation and / or functionality and others within a duration mentioned in Service Level Agreement for the extended period. The AMS (Application Management Services) team should provide support to all applications & modules referred in the RFP.
6. The support coverage would be for all the application / Solution / Hardware supplied, commission / taken over by Bidder through this RFP. Support coverage will also include end to end support for all the existing customizations / interfaces already developed / running in the respective applications & modules.
7. Bidder is expected to staff the helpdesk with agents for achieving the service levels required. The Bank will provide the necessary seating space, in its premises furnishing, electrical connections, telephones with STD facility, PCs etc. for the same.
8. The helpdesk should act as a Single Point of Contact for all internal users whether for service requests, incidents or problems for all the applications / solutions / hardware provided / taken over / supported by the Bidder by way of this RFP.
9. The personnel being deployed by the Bidder for critical, key activities of Facilities Management Services at the Bank should be employees of the Bidder's firm. For L1 activities, the Bidder may propose third party vendors. In either case, the Bidder is completely responsible and should duly meet the SLA requirements of the Bank as stated in the RFP.
10. Bidder should deploy competent resources for the team to provide necessary maintenance and support as per the requirement of the Bank. Bidder has to deploy adequate resources to ensure that the systems are up and customer service is not impacted. To ensure that the SLAs are met, the Bidder if required will need to deploy additional resources during the contract period including implementation schedule without any additional cost to the Bank. The Bank has a right to interview and reject resources deployed by the Bidder.
11. L1 and L2 team should be available on-site as per Annexure 11 and would resolve day-to-day production issues reported in all in scope applications / hardware by debugging and analyzing the same.
12. Upon intimation of the issue from the Banks' Desk Team, the AMS / L2 Support Team would analyze the issue and provide the necessary solution /Patch within the SLA. The issue would be categorized as a bug, enhancement, understanding issue, setup related or data related issues.

13. Bidder's support team would liaise with the ATS / AMC team of OEM Vendor to report product related bugs and obtain fixes (if applicable) for the same.
14. If the issue is a bug and would require a fix, restoration would be provided by the support team.
15. If the issues are because of the incorrect understanding, the issue would be closed with appropriate explanation in consultation with the Bank.
16. If the issues require changes in the product setup or data, the Bidder's team would suggest the required changes to the parameters / data to be made, after discussing the same with Banks' team and taking an approval Bidder needs to make the changes in the data through DML statement however if the changes required in the front end that Bidder need to provide the SOP to bank for doing the changes.

#### 9.6.1 L1 Service Desk

1. Level 1 (L1) Service desk would need to be setup at the Banks' premises on all working days of the Bank between 6 am till End of Day of the last branch and system.
2. The L1 Service Desk serves as the front-end for all users and provide services request sorting, information and non-functional information, ticket routing for support of the Solution.
3. The Bidders should include the complete cost of the L1 helpdesk for the entire contract period as part of the Commercial bid.
4. The support staff in the L1 helpdesk must have a minimum relevant experience of two years each. The Bank reserves its right to replace the L1 staff, in stages or in full, over a period of time with that of its own team or another appointed Provider, in which case bank will discontinue payments in respect of the replaced staff.
5. The Bank reserves the right to increase or decrease the number of seats at L1 helpdesk depending on its requirements at the Bank. The Bank also reserves the right to change the locations of helpdesks at its discretion. The Bidder is expected to quote a per seat rate, which shall be used in case the Bank orders for lesser or more number of seats at the L1 helpdesk. The Bidder should also note that the setup at the L1 helpdesk must provide for 1 supervisor to monitor the Helpdesk activities. The Bank expects the Bidder to provide for L1 support for all activities and services that are part of scope. Bidder shall at minimum deploy the resources as per the minimum deployment level specified in the annexure 11. Bidder should independently arrive at the sizing and deployment plan to meet the RFP requirements (as per scope of work and SLAs), adhering to the minimum deployment level. Bidder shall deploy resources at no extra cost if the proposed deployment does not meet the RFP requirements and SLAs.
6. The key activities that the SI is expected to perform as part of Level 1 Helpdesk Support are:
  - a. Assessment in case of specific rights assignment
  - b. Provision for assigning user rights only for certain fixed period
  - c. Periodic user right monitoring (at known frequency) must be specified and implemented.
  - d. Categorization of requests into functional clarification, bug or change request and route the ticket to the right team.
  - e. Functional clarification to be provided by Level 1 support itself.
  - f. Bugs & change requests to be logged and reported for further processing
  - g. Provide telephonic and / or electronic mechanisms for problem reporting requests as well as for service and status updates.
  - h. Escalate/assign unresolved issues to L2 helpdesk
  - i. L1 support team will be responsible for first level of trouble shooting for all the applications, hardware / infrastructure components, links etc. taken over / supported by the Bidder or provisioned by the Bidder through this RFP.

- j. L1 support team needs to assign unresolved calls to L2 support team and follow up for resolution.
- k. L1 team also has the responsibility to provide the solution to end users after taking the same from L2 team and close the call with appropriate comments.
- l. Bidder has to leverage the functionality of EMS tool and provide the system uptime / down time/ Call response time / No of call attended report every month.
- m. Bidder has to maintain SLA defined in Section 10 for L1 helpdesk.
- n. Bidder needs to provide a menu driven start / stop of application services, which the L1 team will use for refreshing the services as and when required and monitoring their status. All the necessary documentation and training needs to be provided by the Bidder to the L1 team for handling the required support activities.

## 9.6.2 Application Management Services (L2, L3)

### 9.6.2.1 Level 2 (L2) Service desk

1. Level 2 (L2) Service desk would need to be setup at the Banks' premises covering 9 am till beginning of next day on all Working days of the week (for both Banks).
2. The Bidders should include the complete cost of the L2 helpdesk for the entire contract period as part of the Commercial bid.
3. The support staff in the L2 helpdesk must have a minimum relevant experience of five years each. Bidder shall at a minimum deploy the resources as per the minimum deployment level. Bidder should independently arrive at the sizing and deployment plan to meet the RFP requirements (as per scope of work and SLAs) adhering the minimum deployment level. Bidder shall deploy resources at no extra cost if the proposed deployment does not meet the RFP requirements and SLAs.
4. As part of L2 support, Bidder needs to perform the below activities:
  - a. Provide continuous onsite support for the all applications being implemented / taken over / supported / procured through the Bidder
  - b. Performing and troubleshooting End of Day, End of Month, End of Quarter and End of Year activities
  - c. Resolve calls within stipulated timeframe as defined in the Service Level Agreement
  - d. L2 team has to support all the interfaces (NEFT, RTGS etc. mentioned in Appendix M) with Core Banking Solution and needs to do trouble shooting, customization etc. at CBS end for smooth functioning of day to day operation of the Bank.
  - e. Bidder L2 team need to support all the hardware, network, link which will be handed over to the Bidder as part of this RFP.
  - f. L2 team needs to support the customization and troubleshooting of all in scope applications and their interfaces.
  - g. Provide on-site trained personnel in each L2 shift, having adequate exposure and background on the solutions for problem handling and resolution
  - h. Coordinate with the L3 teams for resolution and provide necessary information as may be required by the team to resolve the issues
  - i. Bidder has to maintain SLAs defined in Section 10 for L2 helpdesk
  - j. Bidder has to leverage functionality of the EMS tool to provide call response time of L2 team
  - k. Escalate the unresolved calls as per escalation matrix
  - l. Provide timeframes for providing a solution of resolution of the escalated calls
  - m. Prepare Root Cause Analysis document with the root cause and resolutions provided for major issues such as:

- i. Problems which have resulted in complete service disruptions or downtime
- ii. Critical production issues such as incorrect interest application in majority of the accounts, frauds done using the system, inconstant accounting or system behavior
- iii. Delayed response times
- iv. Data / table corruptions
- v. System Performance issues (high utilization levels)
- vi. Decide on preventive maintenance schedule with the Bank
- n. Liaise with the L1 support personnel for the call information and resolution
- o. All other activities as would be required by the Bidder to manage and maintain the solutions
- p. Application database and middleware support need to be fully provided and adequate number of resources need to be factored
- q. Bidder needs to commission, decommission, install, uninstall and support the middleware from all aspects.
- r. Support and maintain all interfaces to the Core Banking and other solutions as part of this RFP scope including the middleware
- s. Modifications to existing scripts, reports, MRT, JSP or any other scripts due to errors / technical faults.
- t. Present to Bank management on the critical issues reported, resolved, solution provided and the suggested recommendations or leading practices as and when asked by the Bank or on a monthly basis whichever is earlier.
- u. Perform performance tuning of the applications mentioned in the Scope of Work of this document including database tuning. The Bank expects the Bidder to provide advice and points to be considered to the SI for performing any hardware/OS tuning required as part of the performance tuning.
- v. Perform application audit on a half yearly basis
- w. Rectify any corruption in the software
- x. Ensure patch releases are ported to the production environment without causing business disruption or business losses
- y. Perform quarterly BCP/DR drill of all in scope applications.
- z. Perform application replication across the Data Centre and Disaster Recovery Center as per required Service Levels.
- aa. Provide application & infrastructure support from the Banks Data Center as mentioned above for the Data center, Disaster Recovery Center.
- bb. The Bidder is expected to act upon the tickets routed from Level 1. The SI has to be proficient and ensure professional personnel are placed to handle the L2 support and resolutions are provided on a proactive basis
- cc. L2 agents are expected to address issues/queries related to the business applications (viz. Core and all third party applications). L2 agents will need to assess the cause of the issues and accordingly resolve the same within the timelines mentioned in the SLA. The agents would also need to track problems from initial call to restore to service.
- dd. Bidder has to do customizations and trouble shooting and take end to end responsibility for each of the in-scope applications.
- ee. The Bank reserves the right to increase or decrease the number of seats at L2 helpdesk depending on its requirements at the Bank. The Bank also reserves the right to change the locations of helpdesks at its discretion. The Bidder is expected to quote a per seat rate, which shall be used in case the Bank orders for lesser or more number of seats at the L2 helpdesk. The Bidder should also note that the setup at the L2 helpdesk must provide for 1 supervisor and/or

1 support personnel from the Bank. The Bank expects the Bidder to provide for L2 support for all activities and services that are part of scope.

#### *9.6.2.2 Level 3 (L3) Service desk*

1. Level 3 (L3) Service Desk would need to be provided from the respective OEM premises. This shall be considered under the 24\*7 operations support window for the tenure of the Contract.
2. The following activities are in the scope of L3 support:
  - a. Resolve calls within stipulated timeframes as defined under the service level agreements
  - b. Communicate the status of the call to the Bank and accordingly update the status, resolution and date of resolution in the appropriate tool
  - c. Prepare a Root Cause Analysis document for issues referred to L3 support and provide to the Bank along with the resolution
  - d. Liaise with the L2 support personnel for the call information and resolution
  - e. All other activities as would be required by the Bidder to manage and maintain the solutions
  - f. Provide version upgrades
  - g. Perform Version Migration - The services specified herein are not exhaustive and only indicative:
    - i. Perform version migration as per the version release plan of OEM and agreed by the Bank
    - ii. Version upgrades and migrations should also include porting of existing customizations
    - iii. Provide training to the Banks core functional and technical team members on the new version functionalities and technical aspects as and when version upgrades and migrations are performed
    - iv. For any version migration to be performed the Bank and the Bidder will mutually draw up an implementation plan and schedule for the same

#### *9.6.2.3 Application management including day-end, day-begin, month-end, year-end, periodic and daily backups*

1. The Bidder shall provide a detailed methodology for providing each of the above service at each of the locations, respectively. The Bidder should also provide the people deployment plan.
2. The Bidder will be solely responsible for providing and maintaining all services as mentioned above for all third-party support applications taken handover by the Bidder.
3. Bidder has to start L1 support after the completion of transition. As of now L1 team is having 500 call flow and 100 inward mail flows on daily basis.
4. System, component & network bandwidth maintenance - Bank wide WAN Bandwidth upgrade is out of scope of the Bidder. However, as part the Bidder's solution any equipment supplied would be in scope for carrying out the Facilities Management activities.
5. Third Party Support: For all the IT infrastructure and applications, which are taken handed over by the Bidder, Bidder needs to liaise with the original Vendor and ensure prompt servicing.
6. The services should include the following:
  - a. Interface with the applicable 'Third Party Vendor' on behalf of the Bank. This may involve working with the 'Third Party Vendor' to issue defect correction information, a restriction, or a bypass
  - b. Defect correction information, a restriction, or a bypass shall be issued by the responsible party involved. The Bidder is required to take the lead to ensure the completion of the required activities.
  - c. Bidder shall facilitate resolution of End User Software problems including, for warranted or supported Software, contacting the 'Third Party Vendor' for resolution assistance or, if available, to obtain the "fix" from the 'Third Party'

#### 9.6.2.4 SFMS and IBM MQ management

Bank uses SFMS and IBM MQ for NEFT and RTGS transactions, Bidder needs to maintain the same and all the roles and responsibility which was covered in L1 and L2 support needs to be extended for SFMS and IBM MQ application also.

Bidder will be responsible for

1. Managing/updating/troubleshooting/issue resolution/configuring changes in coordination with IDRBT
2. Daily monitoring/reporting
3. Maintaining/managing UAT setup and providing support for the same

#### 9.6.3 Hardware & Platform Software Management (Servers, Middleware, etc.)

1. As a part of FMS, the Bidder shall provide services relating to maintenance and support to server hardware and other infrastructure for the entire contract period at all locations (DC / DR / NDR / RO / HO / Project office).
2. The Bidder shall provide for maintenance of Hardware, including preventive Hardware support, as well as repair and / or replacement activity after a problem has occurred, Firmware upgrade, Warranty service management, including coordination and Vendor management.
3. The Bidder shall provide a Single Point of Contact to End Users for the resolution of Hardware related problems or to request an equipment upgrade or consultation.
4. If the Hardware supplied / taken handover by the Bidder is to be replaced permanently, the Bidder shall inform the Banks well in advance to replace the equipment.
5. Bidder shall provide Hardware maintenance services including preventive maintenance (e.g., running standard diagnostics, machine cleaning, checking cables and ports), corrective maintenance to remedy a problem, and scheduled maintenance required to maintain the Hardware in accordance with manufacturers' specifications and warranties.
6. Bidder shall co-ordinate warranty repair or replacement service for the Hardware and process warranty claims, as applicable.
7. Bidder shall request the dispatch of the appropriate Vendor maintenance provider for Hardware maintained under a third-party agreement.
8. Bidder shall co-ordinate and schedule maintenance activities with the End User and appropriate support functions of the Bank
9. Bidder shall provide recovery procedures to concerned personnel of the Bank.
10. Bidder shall maintain accurate documentation on the current location and status of Hardware in the process of being repaired.
11. Bidder shall provide maintenance data, as reasonably requested by the Bank, to support replacement / refresh scheduling.
12. Bidder shall provide an interface to problem management process of the Bank.
13. Bidder shall provide support and assistance, as required, to isolate complex operational and software problems.
14. Bidder shall update, or provide the information required for the Bank to update the asset management system with the Bank.
15. Bidder shall track and report observed Mean Time between Failures (MTBF) for Hardware.
16. Bidder shall backup, remove, protect, and to restore programs, data and removable storage media in a machine prior to presenting the machine for service.

17. The Bidder shall provide all maintenance services in accordance to Service Level agreement mentioned in RFP section 10.
18. The Bank will not be liable to pay any additional amounts in respect of any sort of maintenance required during the tenure of the contract.
19. Bidder shall be responsible for Server Planning, including the following activities:
  - a. Configuration Management
  - b. Performance Management
  - c. Capacity Management

#### *9.6.3.1 Server Management*

1. Managing the incident through service restoration
2. Validating severity classification of the problem
3. Determining the scope of the problem
4. Facilitating the Service Recovery Team meeting
5. Escalating the issue as required
6. Conducting and sharing Root Cause Analysis
7. Preparing restoration plans
8. Monitor hardware and software during in-scope service hours
9. Administer and/or execute Service Management processes and procedures
10. Perform basic problem determination on systems and components managed by Bidder which include:
  - a. Hardware problems
  - b. System software problems
11. Evaluate planned changes to the server environment and advise requirements to support such changes
12. Provide server configuration reports and configuration details to the Bank as requested
13. Implement configuration management processes and procedures
14. Maintain an audit trail of server configuration changes resulting from release and change control processes.
15. Install, configure and monitor the required software agents
16. Provide guidance to the bank and industry best practices for the optimal configuration of the operating system environment
17. Produce and maintain installation and configuration diagrams of all installations
18. Actively manage and report on the availability of all servers.
19. Perform server periodic checks, monitoring and performance tuning.
20. Communicate any service issues or implementation concerns with the bank and appropriate support personnel and/or vendors.
21. Monitor hardware and system software status, process status, and take necessary action based on detected problems or issues as provided in this schedule.
22. Provide problem escalation and interact as necessary with third party suppliers.
23. Provide monitoring and troubleshooting for the server environment
24. Provide timely notification and escalation to on site personnel if any hardware and software conditions exist that must be resolved on site to meet the service levels provided in this schedule.
25. Bidders will ensure appropriate resources are on site to ensure service levels are achieved if recovery or corrective actions are required.
26. Propose tools for operations such as monitoring, deployment and configuration etc.
27. Ensure server access is secure and authorized.
28. Management of logical access to the server environment in accordance with the bank's policy (including administrator / root access)

29. Assist the bank with application support requiring operating system changes or access issues
30. Evaluate the impact of new operating system upgrades or releases on existing applications and performance.
31. Install patches as and when these become available, per vendor instructions for security exposures and Operating System bug fixes deemed critical by the vendor.
32. Monitor status of system processes
33. Monitor and respond to system alerts and events
34. Monitor and respond to hardware alerts and events
35. Monitor and maintain system error logs
36. Performing required batch setup activities (ad hoc requests)
37. Monitoring and responding to application alerts
38. Monitoring and responding to application file system space issues
39. Manage non-root application file systems
40. Modifying file system sizes
41. Shifting of servers within the premises and reinstallation and configurations including cabling and asset labelling
42. Configure the disk storage arrays
43. Execute backup and recovery procedures
44. Retrieve archived tapes and restore required files and data sets
45. Performing mock system failure and then data restoration drills on periodic basis
46. Ensure the configuration of operating systems is in line with standards and policies as defined by the bank
47. Document and track all configuration management problems using the site change management process.
48. Co-ordinate all changes through the site's change management process.
49. Configuration management for operating system release levels, patches and status.
50. Perform routine system operation functions and system console operations actions such as power on/off, system reboots, and start/stop/reset.
51. Apply preventive and corrective maintenance to all system level software (operating system and other non- application software).
52. Install and upgrade all system level software (the operating system and other non-application software) in consultation with Banks.
53. Escalate hardware related malfunctions to the hardware supplier for resolution as provided in the vendor maintenance contract
54. Inventory information about hardware shipping and receiving, raised floor space requirements, equipment placement, cabling, fiber, connectivity details, power and earthing requirements
55. Servers/Storage hardware maintenance and support is based on various maintenance levels.
56. Alert the bank about hardware changes that may impact application execution in support of the bank's application testing.
57. Design back-out processes to return to the former hardware configuration if unforeseen problems occur during installation.
58. Co-ordinate the scheduling and installation of supplier- recommended preventative maintenance and other hardware specific changes.
59. Schedule down time as and when required to perform required hardware preventative maintenance, installation and testing.
60. Design, build, schedule, and implement a hardware refresh template.
61. Configure operating systems at the setup of each server, to establish super user privileges and access rules and establishing other standard guidelines, based on the agreed security policy of the

bank

62. Establish the process and procedures for requesting logon IDs and OS system level access
63. Create, modify, and delete system logon IDs using the Change Control Procedure
64. Monitor and maintain accounts and IDs and their designated privileges or access to make certain only active, authorized IDs have access, based on the agreed security policy.
65. Remove inactive or suspended IDs after a specified amount of time, based on consultation with security administration and the bank's using the Change Control Procedure
66. Adjust and maintain operating system and security software parameters for password expiration, available in the specific operating system environment to meet the agreed security policy requirements
67. Provide processes and procedures to maintain operating system data protection options.
68. Perform bi-annual re-verification of data owners, authorized submitters and logon IDs, existing level of privileges, based on input from the bank and system security configuration.
69. Work with the Banks' application support personnel as reasonably required for the Quarterly reviews and maintenance of inactive user id's
  - a. Compile a list of defined users id's on the Operating System, and provide list to the bank
  - b. Perform reviews of system, monitoring and database administration user id definitions
  - c. Bidders will apply the necessary changes as per the outcome of the review
70. Hardening of servers as per bank's policy
71. Anti-virus scan and anti-virus update on the servers
72. Bidders will delete the bank's application user id definitions, once such a request has been forwarded by the Bank.
73. Bidder to update virus related signature files on servers to manage the removal of malicious code.
74. Support and ensure that the timely installation of updated signature files and anti-virus software patches on all servers within the managed environment occurs.
75. Coordinate with Banks SOC Vendor for receiving the most up-to-date information on malicious code outbreaks and the appropriate software signature files to protect against malicious code.
76. Obtain and release signature files for testing and application into a client dedicated environment.
77. Signature file and patch updates to be made available and installed utilizing the bank's change control process.
78. Testing of signature files are to be performed prior to deployment.
79. Perform pre-production scans to identify potential security risks on a server prior to entering the production environment.
80. Review the results of vulnerability scans and determine corrective actions based on the results of the scans
81. Review the results of penetration testing and determine corrective actions based on the results of the scans.
82. Review government and supplier bulletins and various other sources to identify emerging threats or vulnerabilities to the bank's hosts.
83. Maintain the risk evaluation process of vulnerabilities in which mitigation plans are determined, in accordance with the agreed security policy.
84. Maintain a vulnerability correction process to correct vulnerabilities detected through scanning of servers.
85. Maintain a vulnerability correction process as new vulnerability are identified.
86. Correct known vulnerabilities detected within the scope of the Bidder's responsibility, using the appropriate correction and change management processes
87. The agreed security policy is to form the basis of security level.
88. Maintain processes to provide consistent configuration of parameters for logging devices and

- ongoing maintenance of those parameters.
89. Make certain of adequate retention of security event logs, based on the agreed security policy.
  90. Configure the parameters of the administrative tools for all system hosts, in accordance with the agreed security policy.
  91. Provide event logging to the extent that tools, resources, and storage are available on client owned environments
  92. Ensure sufficient storage capacity available to retain logs
  93. Provide a listing of resource access rules for re-verification purposes
  94. Perform quarterly review all user ID's and forward list of ID's not used for the last 6 months to the bank for permission to delete these ID's
  95. Process security data identifying logged or audited access to a resource.
  96. Process security data identifying attempted access to a protected resource.
  97. Process security data identifying password violation attempts.
  98. Process security data identifying usage of emergency ID's.
  99. Monitor and maintain ID's and their designated privileges or access to make certain that only active, authorized ID's have access.
  100. Adjust and maintain operating system and security software parameters, consisting of password expiration, available in the specific operating system.
  101. Provide performance management functions and establish performance monitoring thresholds for major processes.
  102. Proactively identify performance problems and improvements
  103. Provide capacity planning processes, for short term and long-term planning, forecasting resource requirements, and analyzing and reporting resource trends.
  104. Monitor server utilization, CPU and memory usage and I/O activity, produce capacity projection reports and develop plans for improvements.
  105. Review server capacity and advice where future additional capacity may be required or archiving policies need reviewing or implementing.
  106. Use standard operating system utilities and/or other third-party tools where appropriate, to project the effects of new changes and workload changes or when large configuration changes are performed in the environment on request of the bank.
  107. Perform operating system software tuning / optimization as required to maintain day-to-day operations
  108. Provide, install and maintain performance monitoring software.
  109. Maintain system parameters to manage subsystem performance and workload throughput.
  110. Implement changes as necessary to optimize the effectiveness and efficiency of the server platform.
  111. Analyze system resource and storage utilization.
  112. Perform capacity trend analysis.
  113. Perform capacity modelling
  114. Capture capacity usage for the last 12 months, capture the report usage on monthly basis and consolidate yearly to show the trend.
  115. Provide forecasting based on historic trends and planned bank's initiatives.
  116. Provide assistance with batch scheduling issues and problems using the problem management process.
  117. Process job dependency information for batch job cycles as defined by the application support staff.
  118. Maintain specific batch cycles utilizing the standard operating system CRON / any scheduler throughout the operational support coverage hours as necessary to meet defined service levels.
  119. Provide appropriate system resources, tools and procedures to support the processing of user-initiated batch jobs.

120. Agree with the Banks prioritization for scheduled, ad hoc and system jobs.
121. Provide the necessary operational resources to support bank-submitted or bank-scheduled batch processing.
122. Maintain tools and facilities for bank to perform batch scheduling and batch monitoring activities.
123. Log problem records if scheduled and automated batch jobs fail.
124. Consult with the bank should job priorities require a change due to system constraints.
125. Perform problem diagnosis and purging of jobs on Operating System as necessary.
126. Monitor automation tools and functionality.
127. Maintain and execute system start- up/shutdown processes.
128. Monitor, identify, and implement automation techniques to remove manual interventions for ongoing monitoring and operation activities.
129. Perform maintenance and support for automation tools and products
130. Problem determination and isolation for automated operational processes.
131. Maintain and update documented hardware, facility, operating system, database and related system software recovery plans as necessary.
132. Perform quarterly tests of the recovery plans to verify the effectiveness there-off in supporting the day-to-day banks operations.
133. Provide the required personnel resources to perform recovery plan drills or actual recovery plan execution at the time of disaster.
134. Provide requisite mirroring and redundancy across the DC, NDR & DR facilities to ensure adequate failover for the server environments.
135. Cluster configuration including the integration of startup/shutdown scripts
136. Configuration of shared storage
137. Provision of documentation on implemented high availability solution
138. Installation, maintenance and monitoring of clustering
139. Conduct Cluster tests as per the Banks requirements

#### *9.6.3.2 System Administration*

1. Client account maintenance – Creating users, groups, creating user accounts, deleting user accounts, modifying user accounts, etc. on the system;
2. File/system/application access management - Maintaining file and directory permissions on OS and application access management like creating user accounts at application level, assigning application access, setting application passwords, user lockout, etc.;
3. Security monitoring and investigation - Assess risks on a particular system [OS environment and user needs], monitor network security, monitor denial of service attacks, bad bugs programmed threats, track logins, logouts, command runs;
4. Performance optimization and reporting - Process and Memory Management, monitoring CPU performance, monitoring Memory performance, monitoring Input / Output performance, monitoring Ethernet traffic, etc.;
5. Error detection and correction;
6. Troubleshooting and client support
7. Bidder need to size the L1 and L2 resources to maintain the system as per the SLA and scope of work mentioned in the RFP however Bidder needs to adhere to minimum resource requirement as per Annexure 11

### 9.6.3.3 Storage Management

Bank is having below mentioned Storage installed at DC and DR location and Bank is planning to set-up Near DR (NDR) which also needs to be maintained and managed by the Bidder.

Sr. No	Storage	Location	Deployed in Bank Month/Year
1	IBM 2076	Data Center (DC)	Jan'17
2	IBM 2076	Disaster Recovery Center (DRC)	Jan'17
3	NetApp 8020	Data Center (DC)	June 2015

Bidder needs to maintain the storage and do the below mentioned activities as Facility Management Services:

Service Requirements	Description
<b>Mirroring</b>	Includes the management of the SAN environment to ensure the availability, integrity and redundancy of Banks storage environment across DC,DR and NDR Site
<b>Configuration</b>	Process of organizing and maintaining storage information to streamline the process of maintenance, repair, expansion and upgrading.
<b>End to end storage monitoring</b>	Continuous monitoring of a DC, DR and NDR storage equipment notification to the administrator(s) in cases of failure / outages.
<b>Archiving</b>	Assist in implementing and maintain Banks archive strategy as part of ensuring effective usage of storage resources.
<b>Media management</b>	Management of the associated media and peripheral equipment used for data storage (e.g. tape management)

1. Develop and document storage and data management requirements and policies.
2. Develop and document procedures for performing storage management that meet requirements and conform to defined policies
3. Review Storage Management procedures on a regular basis to be defined.
4. Provide appropriate data storage services (e.g. RAID array, SAN, tape, etc.)
5. Ensure compliance with the agreed service levels and performance and availability metrics
6. Monitor and control storage performance according to data management policies.
7. Maintain and improve storage resource efficiency and space requirements.
8. Perform data backups and restores per established procedures and service level requirements as well as in accordance to the banks change management process.
9. Adjust the backup and restoration plan as new components are added to the system or availability requirements change
10. Provide input processing, for activities such as loading and rotation of third-party media (e.g. tape) and receipt and/or transmission of batch files, or large files.
11. Define storage management reporting requirements
12. Provide storage management reporting as defined by the bank

13. Maintain the integrity of storage media, e.g. tape and disk.
14. Maintain the data integrity across DC, DR and NDR
15. Perform the relevant maintenance activities to ensure data availability and redundancy
16. Management of all third parties required to support the storage and data environment
17. Storage Management administration and manage and (Pro-active) monitor to ensure all time storage availability.
18. Resolve incident/problem related to storage as per agreed SLA.
19. Supporting new and existing storage products and services like replication, mirroring, security, traffic analysis, compression, virtualization etc.
20. Managing of physical storage elements/equipment
21. Managing moving inactive data off of production machines to free online disk space for important active data
22. Managing logical storage elements like caching, I/O technologies, data protection technologies etc.
23. Storage provisioning, estimate and recommend storage requirements
24. Performing data management including backup and recovery
25. For disk storage, responding to storage requests by:
  - a. Allocating raw storage
  - b. Defining logical volumes
26. Troubleshooting disruptions and working with vendors to resolve the issues including software/firmware/patches related issues
27. Performing capacity management of storage resources to meet business needs
28. Planning for upgrades to hardware and software (including execution)
29. Granting Banks access to the storage management system from all applicable locations where the Services are performed, and allowing Banks to monitor and view the knowledge database on an ongoing basis (including Authorized Users)
30. Storage provisioning, Purging of disk space, Replication support, LUN, SAN Switches, FC Links, Point in time copy / Snapshot management, RAID Configuration
31. Supporting Disaster Recovery activities pertaining to storage devices
32. Enable Proactive monitoring to ensure Minimal/Zero system disruptions/performance issues/outages.
33. Incorporate takeaways from Major Incidents into monitoring to prevent repetitions.
34. Maintaining documentation of configurations (including pictorial representation of the storage layout.)
35. Maintaining documentation of storage component details including architecture diagram, policies and configurations and the same should be reflected in the Configuration Management Database (CMDB)
36. Performing any other day-to-day administration and support activities

#### *9.6.3.4 Data space management*

The Bidder shall:

1. Work with the Bank in defining data space management requirements of the Bank, which includes identifying:
  - a. Fragmented data on a disk, and
  - b. Inefficiently utilized disk space
2. Monitor disks at the Bank for fragmented data and periodically run a defragmentation process (that rewrites all the files on a disk, consolidating all the free space into large contiguous space), as

- appropriate;
3. Periodically monitor disk space utilization at the Bank and take action to improve such utilization by (for example) deleting data that is no longer needed;
  4. Install, configure, test and manage any tools that may be required for data space management, such as those for compressing/stacking data or re-blocking data and before taking any data management actions, notify the affected End Users at the Bank.

#### 9.6.3.5 Database Administration

The Bidder agrees that all databases of the Bank will be administered as per applicable standards and requirements. The service covers all the databases that run on Banks' servers at DC, DRC and NDR facilities designated by the Bank including but not limited to the following:

##### 9.6.3.5.1 Database Installation

1. Defining the physical database design (log files, rollback segments, table-spaces, database descriptors, partitioned objects)
2. Installation of software and database creation [in consultation with the Banks team] - Oracle/ MS SQL/MySQL etc. as per Banks standard
3. Create definitions of logical data structures, tables, views, indexes, program specification blocks, stored procedures & define their relationships
4. Hardening process document for fresh DB installation and perform hardening
5. Test and prepare database upgrades.
6. Implement database upgrades into the production, non- production and DR environments
7. Publish Plan of Action (PoA) to be verified and validated by Banks team before implementation

##### 9.6.3.5.2 Database Performance Management

1. Track & co-ordinate database related incidents/ problems till resolution
2. Conduct first level diagnosis for reported Incidents & perform resolution
3. Analysis of incident/ problem trends
4. Co-ordination & escalation to Database vendors (L3) (Logging ticket at Vendor side as well internal tracking through service desk), follow-up till resolution
5. Maintaining & monitoring the health & performance of databases (Primary and standby)
6. Monitor & analyze alerts & logs including
  - a. trace files (including data block corruptions, enqueue resources, internal errors & I/ O read-write failures)
  - b. database changes
  - c. background job status
  - d. operating system logs
  - e. space management
7. Monitoring the table space utilization, file system usage and all other events of OS which may deter the performance of the database (DC as well as DR)
8. Analyzing/Troubleshooting Database Performance
9. Collection of statistics for databases
10. Optimizing database performance, Performance tuning
11. Monitor physical DBMS for performance & capacity requirements

12. Monitoring of databases
13. Monitoring of transaction logs
14. Provide recommendations on DBMS design
15. Monitor the backup & report on backup logs
16. DDL, export & import related activities
17. Preparing monthly database related reports
18. Provide databases for MIS purpose on daily, monthly and on need basis
19. Periodic optimization of application databases through compression facilities and database tuning.
20. Provide reports on database currency and propose upgrade recommendations
21. The Bidder is required to install & implement database diagnostics & fine-tuning packs based on Banks requirements.

#### 9.6.3.5.3 Database Capacity Management

1. Estimate & recommend database requirements based on received data from Database Performance team and Business projections (Annual / As and when required)
2. Perform Database Space analysis
3. Alignment to Archival / Purging policy
4. Review archive logs requirements
5. Customizations required at DB level
6. Review and planning for 6 months

#### 9.6.3.5.4 Database Monitoring and Administration

1. Setting data storage parameters for storage associated with the physical elements of the database
2. Handling password issues
3. Configuration of Databases
4. Creating a new database instance
5. Testing & implementation of patches
6. Testing & implementation of upgrades
7. Managing, applying & verifying Database program patches
8. Database Scripting
9. Review, recommend and test patches.
10. Coordinate all changes through the agreed upon change management process
11. Start-up and shutdown of databases
12. Daily activities such as end of day, end of month, end of year/quarter etc.
13. Daily / Weekly / Monthly backup of databases
14. Database recovery
15. Weekly database recovery checks
16. Required logs maintenance as per Standards of the Bank
17. Disaster Recovery Center as per Standards of the Bank
18. Database problem resolution
19. Recreation of Indexes
20. Perform pre-batch activities-Scheduling of resources-Scheduling batch services-Define, maintain and document a work schedule for running production system batch jobs, and possible started tasks-Install and document system related batch jobs in the automated job scheduling package- Manage the root cause analysis for scheduling problems- Develop and maintain standards for job

acceptance and implementation. The Bidder can either use scripts or propose a tool for batch automation

21. Remove applications from the application portfolio following decommissioning from projects or improvements.
22. Perform regular import and loading of data and ad-hoc data extractions.
23. Responsible for maintaining DB inventory
24. Maintaining and performance tuning of Non-Production databases
25. Migration of Databases (Release Upgrade)
26. Execution of all back-end changes across all applications as informed by application owner
27. Manage database transaction (SQL)/ archive (Oracle) logs
28. Administration/ management of archival databases (Purge from production and move to archive database)
29. Resolving corruption (both Physical & Logical) issues at primary & standby databases
30. Execute DBMS changes in support of major application or logical database design changes
31. Designing & Implementation of logical & physical backups
32. Flash back up on daily basis
33. Vendor coordination with OEMs for upgrades, patches, bug fixes, performance tuning etc.
34. Creation of a Standby database & setting up the DR
35. Using data guard for Oracle
36. Log shipping/Mirroring/Always On for SQL
37. Monitoring, management and implementation of High Availability (HA) viz. clustering/RAC etc.
38. Review of all databases
39. Switchover of databases (as and when required and as per the defined time window)
40. Refresh of Databases as per defined frequency or on demand
41. Day end, month end, quarter end, year-end End of Day & Begin of Day support
42. Resolution of audit points and VA/PT reports
43. Management of tools
44. Ad-hoc support for processes run by branch charges for average quarterly balance/ SB interest calculation
45. Apply application data fixes.
46. Install patches and upgrades to database software.
47. Installing database software as appropriate.
48. Perform application non production environment data refreshes.
49. Cloning of application data environments.
50. Monitor capacity and performance of databases.
51. Control of the database (adapting database profile parameters, expansion of tables and table spaces)
52. Technical reorganization of the database (defragmentation) also after archiving
53. Analysis of the DB tables & indexes - continual performance enhancement measures
54. Create new indexes, performs reorganizations as required per analysis
55. Creation, maintenance and execution of database related scripts such as start-up and shutdown processes
56. Creating and maintaining formal documentation of the database environment (e.g. scripts, design, configuration, access rights)
57. Monitor availability of the databases as a subset of monitoring overall service availability.
58. Providing solution services for database design, configuration and maintenance
59. Assist with incident and problem management related activities relating to the database environment (e.g. integration, interface, performance, configuration issues as part of the overall

support service) including interaction with third party suppliers where necessary.

60. Archive of application specific data as requested.
61. Implementation and monitoring of database security.
62. Loading software components- Kernel patches, Release changes.
63. Proactively apply security fixes
64. Documentation upkeep and records maintenance

#### 9.6.3.5.5 Database Back-up, readability and restore for setup

1. Manage Database backup, readability and restore schedule, administration (RMAN Backup)/Scheduled Backups and others
2. Data Deletion & Purging/archival activity
3. Purging of tables based on availability of space on a regular frequency (Frequency to be decided)
4. Consolidating all database backups & Transaction log backups at a single file Server
5. Perform database backup, restore and recovery routines.
6. Compliance, review and updates to database standards documents.
7. As per the RBI guidelines, Bidder needs to do backup restoration drill every quarter and ensure that the backup taken will be restored in time as per the bank policy.
8. Bidder needs to take end to end responsibility of the activity and ensure redundancy of critical applications during performing the activity.
9. Bidder should perform backup, readability and restore management in accordance with Banks policy and procedures for backup and restore, including performance of daily, weekly, monthly, quarterly and annual backup functions (full volume and incremental) for data and software maintained on the servers and storage systems.
10. Backup and restoration of Operating System, application, databases and file system etc. in accordance with defined process / procedure / policy.
11. Monitoring and enhancement of the performance of scheduled backups, schedule regular testing of backups and ensure adherence to related retention policies.
12. Ensuring prompt execution of on-demand backups & restoration of volumes, files and database applications whenever required.
13. Real-time monitoring, log maintenance and reporting of backup status on a regular basis. Prompt problem resolution in case of failures in the backup processes.
14. Media management including, but not limited to, tagging, cross-referencing, storing (both on-site and off-site), logging, testing, and vaulting in fire proof cabinets.
15. Generating and sharing backup reports periodically.
16. Maintaining inventory of offsite tapes (at Bengaluru and Mumbai), on requirement.
17. Tape/ LTO library management loading and unloading tapes, etc. as per the scope.
18. Coordinating to retrieve off-site media in the event of any Disaster Recovery center.
19. Forecasting and raising indent for tape requirements for backup.
20. Ensuring failed backups are restarted and completed successfully.
21. Periodic Restoration Testing of the Backup.
22. Guide/suggest the Bank for improvement/ optimization of the existing backup/ restore policy.
23. Maintenance log of backup/ restoration.
24. Update/ Maintain Standard Operating Procedure (SOP) documents
25. As of now, backup is happening through IBM TS3200 tape library with IBM Spectrum Protect Backup solution
  - a. Bidder needs to study the current landscape and needs to inform bank about the additional license requirement (if any) for taking backup.

- b. Bank will procure the same and Bidder needs to implement and maintain the same for entire contract period.

#### 9.6.3.5.6 Access management

1. Implementing & managing security rules & access authority as per security policy; Database Hardening
2. Implementation of database security by creating roles, privileges & profiles
3. Management of users in database and assigning of roles/privileges
4. Monitoring and management of logs for user access management of privileged users

#### 9.6.3.5.7 Database ad-hoc support

1. Provide access to DBA resource for ad hoc work requests and change orders

#### 9.6.3.5.8 Database Recovery

1. Create & implement database recovery solutions in consultation with Banks team
2. Recovery of database at primary and failover as per case
3. Restoration activities (from backup media)
4. Database recovery using the physical & logical backups
5. Support for DR Configuration
6. Evaluating current backup, recovery, & data replication procedures & providing recommendations for improving those procedures

#### 9.6.3.6 Operations Management

1. The Bidder shall carry out Preventive Maintenance (PM), including cleaning of interior and exterior, of all hardware and testing for virus, if any, once in a calendar quarter and should maintain proper records at each site for such PM. Failure to carry out such PM will be a breach of warranty and the warranty period will be extended by the period of delay in PM.
2. For implementing different versions of Application Software, if adjustments / change in the configuration are to be made in base memory the same should be carried out by the Bidder.
3. If the Operating System or additional copies of Operating System are required to be installed / reinstalled / de-installed, the same should be done at no additional cost during the period of contract. The Bidder shall provide or develop with the assistance of Bank
  - a. Technical Standards;
  - b. Security Requirements;
  - c. Operating Procedures;
  - d. Recovery Procedures;
4. Perform an inventory of warranties and licenses in place as of the Start Date.
5. The Bidder shall develop and maintain an inventory database to include the registered hardware warranties and software licenses exist as of the Start Date, and the warranties and licenses for hardware and software which will be procured by bank or through Bidder.
6. The Bidder shall perform warranty and license registration, if any, with the appropriate manufacturer, for hardware and software:
  - a. Procured through the Bidder, or

- b. Procured by the Bank with notification to the Bidder for inclusion in such database
- 7. Bidder shall monitor warranties to check adherence to preventive and repair maintenance terms and conditions
- 8. Bidder shall provide the Bank with access to asset control information.
- 9. Bidder shall provide to the Bank, as reasonably requested, reports that aid the Bank in performing asset management and financial management functions of the Bank as these relate to hardware leases and warranties and software licenses.
- 10. Bidder shall maintain data regarding entitlement for software upgrades, enhancements, refreshes, replacements and maintenance; and
- 11. Bidder shall provide technical information as reasonably requested by the Bank for preparation and implementation of budgets and cost benefit analysis.
- 12. As far as possible, the equipment should be repaired at site. Where the equipment is taken for repairs outside the Bank, a substitute should be provided and data, if any, should be transferred to the substitute machine besides creating back-up in one of the system's at the Banks' office and the data in the machine should be got deleted and hard disk should be degaussed.
- 13. If during warranty period, any equipment has a hardware failure on four or more occasions in a period of less than three months or six times in a period of less than twelve months, Bidder needs to inform the same to Bank and Bank will take up the same with the appropriate vendor for the replacement.

#### *9.6.3.6 Software License Management*

- 1. Perform an inventory of software licenses on a regular basis
- 2. Develop and maintain a software license inventory database to include the licenses existing as of the Start Date and for software:
  - a. Procured through the Bidder, or
  - b. Procured by the Bank with notification to the Bidder for inclusion in such database
- 3. Maintain data regarding entitlement for software upgrades, enhancements, refreshes, replacements, and maintenance
- 4. Provide access to server resources to authorized End Users only

The Bank will not be responsible or liable for any infringements or unauthorized use of the licensed products. In the event of any claims against the Bank for any license related issues that have resulted due to infringements or unauthorized use of the licensed products by the Bidder during the period of the contract, the Bidder will have to act upon the same and all liabilities and claims whatsoever will have to be settled by the Bidder for such cases during or beyond the period of the contract.. Bidder is required to consider the ATS of the solution and related application software for the period of contract from day one.

#### *9.6.3.7 Updates/Upgrades/New releases/New versions/Patch Management*

- 1. The OEM may from time to time release Updates/ Upgrades/New releases/New versions and notify the Bank about the same. The Bidder agrees that all such Updates/minor Upgrades (dot version)/ new minor releases (dot version)/Minor new versions (dot version), as and when released during the term of warranty, AMC and ATS will be implemented without any additional cost to the bank.
- 2. Bidder needs to test all these upgrades and releases in Non-production environment first and once sign off by the bank Bidder needs to move these upgrades and updates in production through proper change management cycle

#### *9.6.3.8 Virtualization*

1. Managing and resolving Intel servers/Blade enclosure, SAN Switch, IBM storage and issues with virtualization such as Microsoft, RedHat, Microsoft Virtualization solution ( Hyper-V, SCVMM-2012, Windows Cluster, DC- DR Replication, Hyper-V H.A ) and issues with virtualization such as Microsoft, RedHat Linux.
2. Monitoring/management /troubleshooting/issue resolution for IBM and NetApp Storage
3. Manage and resolve issues System Center all the modules related to Cloud and Virtualization environment, Virtual Machine Manager (SCVMM), Power Shell scripting with experience in managing medium to large environments. Creation / maintenance (patch management) of new VM through VMM module; SQL configuration and clustering
4. Manage and resolve issues that require applying OS patch fixes / builds
5. Manage standard client/server, networking, and Internet fundamentals, on Multi-domain environment (Desktop virtualization, VMware View), Microsoft Cloud using Hyper-V and System Center 2012 Suite
6. Monitor all the running VMs, Base Servers, Storage and cluster health.
7. Coordinate with Bank & other VM admins in resolving the issues been faced in Windows Virtual Environment
8. VMware virtual machines administration in VMware's ESXi
9. FCoE category switch management/troubleshooting/virtual connect for Blade enclosure/SAN/NAS/Switch/Headers.

#### *9.6.3.9 Antivirus*

1. As of now, Bank is using Symantec end point protection in the current setup for 7500 PC's and 250 server as end points.
2. Bidder needs to take handover of the existing system and maintain the same during contract period
3. Bidder needs to do the sizing and inform bank about the need for new licenses based on the end points, Bank will procure and provide the same to Bidder. Bidder needs to carry out necessary installations & updates/patches for the newly procured licenses.
4. Bidder needs to factor the ATS of all the existing licenses taken over in transition; however the ATS for the new licenses will be paid by the bank
5. Bidder needs to make sure that all the end points are fully complied with the latest updates / patches and all the system antivirus is properly working
6. Bidder will be responsible for deployment of Antivirus Solution at all end points

#### *9.6.3.10 Security Information and Event management*

1. As of now, Bank is using HP AE7605 Arcsight as the SIEM solution which is integrated with Firewalls and Network Intrusion Prevention Systems only
2. Bidder needs to do the sizing and inform the bank if any augmentation is required and integrate all critical devices /servers for log management and correlation and maintain the same for the additional devices
3. All the integration responsibility of the new and existing devices lies with Bidder
4. Bidder needs to do proper log management and correlation and a report of the same needs to be submitted every week to the bank highlighting the gaps and ways to prevent the same. If any gaps are found by the Bank, the same needs to be fixed by the Bidder

## 9.6.4 Network Infrastructure Management

### 9.6.4.1 Network Management Services

Currently the existing SI is managing Banks' below mentioned infrastructure which will be handed over to the successful Bidder as part of this tender. Bidder shall deploy the resources as per the minimum deployment level. Bidder should independently arrive at the sizing and deployment plan to meet the RFP requirements (As per scope of work and SLAs) adhering the minimum deployment level. Bidder shall deploy resources at no extra cost if the proposed deployment do not meet the RFP requirements and SLAs.

Bidder needs to perform the below mentioned tasks.

1. Facility Management services at Banks' Network Operation Center by deploying the professionals to support 24x7x365 days basis with shifting duty hours for managing all routers/switches/modems/WAN Links as deployed in Bank WAN Network.
2. Installation, Integration, Implementation and Maintenance of WAN Links at Banks Branches/offices mentioned in the RFP as per Banks' requirement.
3. Vendor Management Services
4. Bidder shall be coordinating / liaison / deal with all link providers including BSNL/MTNL for the link / bandwidth availability as per service levels. Bidder has to immediately log call / book the complaint and register the docket number against the same. Bidder has to continuously follow up with the Link provider for immediate restoration of required link services. Furthermore, after link is restored, Bidder shall have to give details about the nature of fault/ attributable reason to Banks for each link on daily / weekly / monthly / quarterly reports.
5. Overall maintenance of each and every equipment procured/installed under Banks' WAN network project, IP Telephony infrastructure, other Hardware etc.
6. Performance tuning and ensuring performance on the network as per the SLA.
7. Perform NMS Operations to meet the SLA Targets and generate desired reports for every kind of suspicious entries, network trends, historical reports, bandwidth optimization and usage etc. on monthly and on requirement basis. It is a responsibility of the Bidder to present all these reports at the time of Audit.
8. Checking Network status and taking remedial action in case of problems.
9. Daily monitoring of LAN & WAN through tools provided by the Bank or manual testing, troubleshooting and reporting as defined under network monitoring services.
10. Configuration/Reconfiguration of routers, modems, switches, NTU, IDU, IP phones, Video conference etc. for network connectivity, as and when required.
11. The Bidder shall maintain an updated inventory/asset list of complete IT network infrastructure and an updated set of configuration documents for LAN/WAN network diagrams with relevant details.
12. The Bidder shall provide services for link/devices augmentation/deletion, relocation/ connection/ disconnection etc., as and when required.
13. Maintain and update IP address allocation & optimum management of IP addresses through DHCP/Static entry, whichever is suitable depending upon requirement. The Bidder is also required to understand the existing IP addressing scheme for integration and accordingly allocate the IP addresses for a new WAN/LAN segment, as per scheme.
14. The Bidder shall be responsible to provide Network Monitoring Services for management purposes or can use Banks' existing monitoring tool.
15. Making sure the high availability & reliability of network at all times and performance tuning.

16. Monitor the link status like peak utilization, normal utilization etc. Where Peak utilization stands for the time frame where the maximum bandwidth is used, whereas normal is the regular utilization.
17. Monitor the critical errors in switches and routers and do necessary fault identification & rectification.
18. Monitor the critical errors in leased lines and any other transmission media and do necessary fault rectification and other devices in the network. Configure/reconfigure the switches and routers remotely, if required.
19. Collect the data flow on basis of time, interface, IP address, application wise for traffic analysis. Sending alerts to concerned people regarding critical errors
20. Bidder needs to complete the analysis within 30 minutes from the time alert is raised by the EMS tool and if problem is detected at service provider end, Bidder needs to log the call within 45 minutes of the alert raised by the EMS tool.
21. Maintaining complete details of network hardware along with interfaces, IP address, IOS version etc.
22. Redesigning of network architecture as and when required by the Bank
23. In case, the Bank decided to increase the bandwidth of existing vertical/horizontal links for which bandwidth is provided by BSNL/ link service provider then in such case Bidder has to co-ordinate with the BSNL/ link service provider to in timely upgradation and integration of the bandwidth. The Bank would pay the Cost of additional bandwidth to the service provider. The Bidder has to ensure timely integration of required bandwidth with Banks' WAN Network project, which is provided by BSNL/ link service provider during entire contract period.

Therefore, it shall be the responsibility of the Bidder to resolve the link issues on priority in coordination with Link Provider. It should be noted that penalty would be imposed on Bidder in case of link is not available with on the following conditions:

  - a. Without proper justification of downtime, reason, Docket number (link provider)
  - b. Backup link is not operational wherever available.
  - c. Monitor the Link failures and Overall link management with Link Provider includes:
    - i. Fault Detection
    - ii. Centralized call logging
    - iii. Physical Testing for link quality
    - iv. Fault resolution to meet QoS (Quality of Service) defined in SLA.
    - v. Coordination with Link provider including BSNL with verbal and written communications to ensure Service levels are maintained
  - d. Bidder shall coordinate with all the vendors for upkeep of equipment deployed in the Banks' WAN network to meet the SLA and shall liaison with various bidders/OEMS for related works, equipment & Services.
  - e. Bidder shall also maintain database of the various Vendors and service providers for Banks', including details of deputed persons like contact person, with complete address, telephone & mobile numbers, email, escalation matrix, response time and resolution time commitments etc.
  - f. The Bidder shall, if required, escalate and log calls with different Vendors/OEM's and service providers (such as BSNL) and coordinate with them to get the problems resolved.
  - g. The Bidder shall define change management procedures and also ensure that no unwarranted changes are carried out in the entire network or its constituents. Any changes shall be incorporated with prior approval of the Bank/Service provider
  - h. The Bidder shall do proper version management of these configurations as they are bound to change from time to time.

#### 9.6.4.1 Monitoring

This part of the Bidder deliverable should aim at taking proactive measures by keeping an online track on the failures or alerts reported by the monitoring tools, which have or could have impacted the availability of the systems for the intended business functions. It also aims at ensuring smooth functioning of the system by carrying out the day-to-day maintenance / operational activities based on the implemented solution and process.

The following services should be executed as part of Network Monitoring services:

1. Monitoring of failures of MPLS/Lease Line/RF/VSAT/GSM(3G/4G) any other link deployed in the WAN impacting network availability to the location
2. Monitoring of Network Equipment i.e. Modems (MLLN/Non MLLN) / ISDN NT1 box monitoring deployed in the WAN impacting network availability to the location.
3. Bidder should take appropriate defined actions to restore network availability to the location by use of available backup mediums. Bidder should ensure maximum uptime for network devices if a device experiences less than uptime defined in Service Levels in a month due to hardware failure like MUX etc. then Bidder should coordinate with respective WAN Service Provider to replace the same with an equivalent device at no additional cost to Bank.
4. Bidder has to provide the onsite support at Banks' NOC, 24/7 and 365 days of the year for managing & liasioning of the links in three shifts. The Bidder should decide and provision the number of resources based on about 3000 links with 10%-15% growth on year on year basis.
5. The Bank and the Bidder will review the performance of the links once in a month for uptime, Bandwidth utilization, QoS etc.
6. The Bidder should provide the Link uptime report, Device uptime report, latency report as decided by the Bank from time to time, Report on Round trip time delay and other reports as decided by the Bank from Banks' available monitoring tools on periodical basis.
7. The responsibilities of the Bidder will also include:
  - a. Round the clock Network Monitoring from WAN Network NOC at Project office, Bengaluru
  - b. Network Performance Management
  - c. Configuration Management of branch networking equipment
  - d. Round the clock Network Fault Management of WAN Network
  - e. Carrier/ Link Management of Banks branches/offices
  - f. Troubleshooting of problems arising in the network and resolving the same.
  - g. Documentation of problems, isolation, cause and rectification procedures for building knowledge base for the known problems.
  - h. The Bidder shall maintain complete configuration (in hardcopy & softcopy) details of the following items installed under Banks' WAN Network:
    - i. All Routers
    - ii. All Switches, Modems
    - iii. All MPLS/leased line/VPN/FTTH modems
    - iv. All VSAT / RF IDU
    - v. IP Phones
    - vi. Network Management System
  - i. Managing and monitoring a commissioned network on (24 x 7) for Network and Facilities of Banks' WAN network including:
    - i. Network management
    - ii. Link management

- iii. Fault / incident management
- iv. Problem Management
- v. Change Management
- vi. Bidder Management
- vii. Help desk Management
- viii. Configuration & Management
- j. Management and Monitoring should be based on ITIL framework
- k. The Bidder shall be responsible for overall co-ordination, liaison services with the Service Providers for required uptime of links provided by the service provider. Bidder has to co-ordinate with service provider and the Banks.
- l. The Bidder shall handle all matters relating to the configuration and operation of the routers, Switches, modems and other network equipment and IP Phone including but not limited to application, system interfaces, documentation and training.
- m. The Bidder should provide time bound escalation matrix for project implementation as well as regular support and maintenance.
- n. The Bidder should ensure that End-to-End QoS configured (prioritization of the traffic, partitioning of bandwidth for applications etc.) etc.
- o. The network monitoring reports available from the Bidder should comprehensively address all the issues relating to performance, availability, Bandwidth Utilization and uptime etc.
- p. Bidder will be responsible for all required configurations in new routers and Banks Existing branches routers of all Bank branch/offices.
- q. The Bidder should provide reports for Interface availability, interface traffic statistics, interface response time monitoring, and interface errors and Bandwidth Utilization report.
- r. Any software support like update/enhancement/upgrade etc. as defined below released till the completion of contract period shall be supplied, installed and commissioned free of cost by the Bidder. However, any such software support like update/enhancement/upgrade shall be communicated to the Bank by the Bidder within a period of two weeks from the date of release, during the entire contract period.
- s. At present bank is having 1900 /881G series Cisco routers, Switches 2960 Cisco switches, Modem (Nomus/Cygnus/Atrie/Team engineer), Airtel RF, BSNL VSATs, deployed in various branches across the banks location. The Bidder has to provide the Facility Management of these devices.
- t. All kind of configuration required for branch business /ongoing projects/upcoming projects should be facilitated by Bidder for branch routers/Switches/Modems and other network equipment. Bank has liberty to re-deploy the branches networking equipment to any of the bank locations or third-party locations. Bidder has to provide the necessary support for all branch networking equipment irrespective of their locations.
- u. The Bidder has to manage the IPs address and IP schema of the Banks.
- v. The Bidder should coordinate for integration of the communication equipment/link to the existing network/maintenance related issues. In case of any integration problems with the existing network, the Bidder will be responsible for resolving the same.
- w. The router required for terminating the Circuits at /branches/offices site will be provided by Bank and the Bidder needs to do the configuration in collaboration with the vendor of the Banks.
- x. The Bidder should configure end-to-end traffic engineering (end to end means CE to CE).
- y. The Bidder should setup IPsec encryption with coordination of core network team.
- z. Maintenance of daily / Weekly and monthly uptime/downtime report should be submitted.
- aa. Co-ordination with BSNL / link service providers/vendors for replacement/maintenance of defective Networking Hardware/Software (like Routers, modems, NT1 etc.) and escalation, if necessary

- bb. Hardening of all the network equipment installed at branch & offices in coordination with the Core network team.

#### 9.6.5 Infrastructure Management Services for Branches, Head Offices, Regional Offices, Project Office

Currently the existing SI is managing Banks' below mentioned infrastructure which will be handed over to the successful Bidder as part of this tender. Bidder shall deploy the resources as per the minimum deployment level. Bidder should independently arrive at the sizing and deployment plan to meet the RFP requirements (As per scope of work and SLAs) adhering the minimum deployment level. Bidder shall deploy resources at no extra cost if the proposed deployment do not meet the RFP requirements and SLAs. Bidder needs to perform the below mentioned tasks.

1. Desktop Management Services at Head Offices, Regional Offices and Project Office
2. Network Management Services
  - a. WAN Management
  - b. Link management
  - c. Monitoring
  - d. Onsite Video Conferencing Support at Head Office, Regional Offices and Project Office
3. Facility Management engineers at the Regional Offices of the Bank.

##### *9.6.5.1 Desktop Management Services at Head Offices, Regional Offices and Project Office*

1. First level support for Client Specific applications (Connectivity and configuration of applications only)
2. Provide support for Operating System (OS), Network connectivity, Windows Client, Office Automation tools. Coordinate with bidders for resolution of problems.
3. Avoid unauthorized software installation to the desktops.
4. Install standard software based on the user category classification. List of standard software updated from time to time, to be provided by the Bank.
5. Installing, configuring and basic troubleshooting of Finacle client
6. Installing and updating Antivirus
7. Installation of basic Software
8. Installing, configuring and basic troubleshooting of OFFICE suite on client
9. Installing, configuring and basic troubleshooting of IP Phones
10. Basic troubleshooting of LAN Connectivity Issues
11. Updating of OS service pack
12. Updating of IE versions
13. Taking PST backup as per request of clients
14. Configuration of DNS and PROXY
15. Adding the machines to domain and configuring profiles
16. Install OS Patches and upgrades.
17. Resolve user problems through remote access wherever possible.

#### *9.6.5.2 Onsite Video Conferencing Support at Head Offices / Project Office and RO*

1. Maintain and Administer the Video Conference setup at Head Offices, Project Office and other Regional Offices.
2. Support all video conferencing sessions which are scheduled from corporate office and arrange for the Multi-site or point-to-point sessions accordingly.
3. Coordinate with all RO FME/ Bank RCC to make sure that the VC session runs smooth without any interruption.
4. Follow the defined escalation matrix for Banks and other service providers.
5. The engineer should conduct the web based VCON with Regulatory Bodies/third party.
6. Working along with Banks team to ensure the maintenance of Video Conferencing equipment at Regional Office / Project Office and resolution of other issues.

#### *9.6.5.3 Regional Office Facility Management Engineer (RO FME)*

Banks have 20 regional offices across Kerala and Karnataka. Bidder needs to deploy the one or Two (Depending on the RO Size) FME at each Regional office as mentioned in Annexure 11 for managing branches WAN/LAN management/ Email services/ desktop management/ antivirus management/all application management including CBS configurations and other IT related works or ROs and branches linked to those ROs.

The scope of FME is detailed below:

1. Network Link monitoring and maintenance & WAN Network management under regional offices and branches linked to ROs
2. Ensure network, application and link readiness for the new branches/offices/ATMs/Kiosk etc.
3. Escalation & Follow up for the links with the service providers to resolve the issue for the branches in the Region.
4. Co-ordination with bidders for Maintenance of WAN/VSAT/IP Phone
5. Follow up with BSNL/service provider for call escalation relating to the isolation of the branches running on MPLS and P2P
6. All issues (interaction with the vendor, maintenance, etc.) relating to all in scope applications services/login matter of the branches and also relating to the Branch peripherals – application/software related configuration
7. Video Conferencing Management – Maintenance & testing of these equipment deployed at RO on regular basis.
8. Provide technical assistance to the branches/RO when DR-DRILL/specific activity is being carried out by HO team.
9. Ensure the implementation of IT related policies and comply with the systems & procedures communicated by DIT periodically.
10. Review of the following area on regular basis-
  - a. Network/link status report
  - b. Enterprise management system report
  - c. IP phone related matters
  - d. Anti-virus-related matters
  - e. Any desktop peripherals related matters such as browser configuration, DNS entry etc.
11. LAN Management of Regional offices and assist to Branches for their LAN management
12. Desktop configuration and assist if any support required from Head office team for following:
  - a. Network issues

- b. CBS /Finacle configuration & other Bank applications configuration
- c. E-Mail Client configuration
- d. Antivirus related issues
- e. Other related IT issues.
- f. First level support for Client Specific applications (Connectivity and configuration of applications only)
- g. Provide support for Operating System (OS), Network connectivity, Windows Client, Office Automation tools. Coordinate with bidders for resolution of problems.
- h. Avoid unauthorized software installation to the desktops.
- i. Install standard software based on the user category classification. List of standard software updated from time to time, to be provided by the Bank.
- j. Installing, configuring and basic troubleshooting of Finacle client
- k. Installing and updating Antivirus
- l. Installation of basic software
- m. Installing, configuring and basic troubleshooting of OFFICE suite of client
- n. Installing, configuring and basic troubleshooting of IP Phones
- o. Basic troubleshooting of LAN Connectivity Issues
- p. Updating of OS service pack
- q. Updating of IE versions
- r. Taking PST backup as per request of clients
- s. Downloads and Uploads of AML Files
- t. Configuration of DNS and PROXY
- u. Adding the machines to domain and configuring profiles
- v. Install OS Patches and upgrades.
- w. Resolve user problems through remote access wherever possible.

#### 9.6.6 Enterprise Management System

The Bank has Enterprise Management System (EMS) from CA for proactively monitoring and managing our IT infrastructure which will be handed over the successful Bidder and Bidder has to manage the same. As of now, the below modules of CA are configured and working, Bidder need to take handover the full EMS solution and infrastructure and maintain the same for proactively monitoring of the Banks' infrastructure

- CA EHealth,
- Service Desk & CMDB
- CA Spectrum
- ITCM

However, to maintain operational excellence, the Bidder needs to install certain more modules of the CA tool which are as below

- Proactive CA NetOps
- CA DPM

Also, during the contract period new branches and infrastructure will be added to the Banks' setup so Bidder needs to provide the sizing in totality and bank will procure the required licenses accordingly; however, the implementation and maintenance of the same needs to be done by the Bidder.

As per the current setup, the EMS solution is configured in standalone mode at DC. The Bank wants the same to be in high availability mode, Bidder needs to provide the complete infrastructure requirement which bank will procure and Bidder needs to implement and manage the same.

All the AMC and ATS of the existing setup needs to be factored by the Bidder; however, any AMC / ATS applicable for the new procurement will be paid by the bank. Bidder only needs to implement, manage and maintain all existing and newly procured infrastructure and licenses.

As part of the maintenance Bidder needs to do the following (but not limited to)

1. End to End support and troubleshooting of the application
2. All the future integration to effectively manage, monitor and support the setup
3. All the report extraction as and when required by the bank.
4. All the future customization required
5. All the version upgrade
6. All the user creation and maintenance
7. All activities mentioned as part of L1 and L2 support
8. Bidder need to use CMDB tool for tracking all the IT asset of the banks and coordinate with the Banks' officials for collecting and uploading the data in the tool if the information is missing

#### 9.6.8 Performance Assessment

1. The service provider will be required to provide reports on a regular basis relating to the performance and quality of the IT services provided and the performance of the service being delivered.
2. It will be expected that the Bidder shall be proactive in identifying opportunities for improvements in the delivery of the service
3. Bidder needs to perform below activities:
  - a. **General Performance Management:** Assess and publish metrics on the quality of services being provided.
  - b. **Performance Assessment of CBS IT Infrastructure:** Bidder needs to do Performance assessment Periodically for CBS, Internet Banking, Channels, Server, and Database and submit the report to the bank after doing all assessments. Bidder and bank needs to analyze the report and fix all the issues, bugs, problems reported in the report. It will be the responsibility of the Bidder to coordinate between OEM and third party to resolve the issues reported. Bidder needs to close the issues within 30 days once the same is reported by the bank otherwise penalty will be applicable.
  - c. **Reporting:** Provide Performance management reports to the bank as per the periodicity mentioned in the RFP or on the mutually agreed periodicity for reports wherein periodicity is not mentioned in the RFP.
4. The Bidder should use industry standard tools required for carrying out the activities mentioned in Architecture Assessment of CBS infrastructure. Independent reputed third party / Bank or Bank appointed consultant shall review based of the report submitted by Bidder.
5. The Bidder is required to perform the performance analysis of the CBS servers, Internet banking, storage and database. **The Servers, storage and database performance assessment needs to be done on a half yearly basis.** The Bidder should perform deployment architecture review, caching and compression of data at relevant components, identification of failure points and its impact on performance, backup and storage policies, CPU/ Memory and disk utilization parameters,

configuration analysis, analysis of IO intensive activities etc.

6. It must be noted that the Bank reserves the right to carry out independent performance assessments or benchmarking at any point in time on any of the applications deployed at the Bank.

#### *9.6.8.1 Performance Measurement*

1. Assess and publish metrics on the quality of services being provided.
2. Produce performance reports on all Service Levels, inclusive of all events associated with the management of change requests, incidents and problems and detailing deviations in performance delivered to end users.
3. Contribute to a program of continuous service improvement.
4. Carry out periodic service evaluation reviews to assess whether service need enhancement or a new type of service is required.
5. Identify and assess improvement opportunities.
6. Report unplanned downtime and on-going availability metrics of applications and systems
7. Form part of providing a central point for the monitoring and reporting of all IT service capacity and availability.
8. Execution and reporting of customer services to measure the end user's perception of the service

#### *9.6.8.2 Half yearly Performance Analysis for systems*

1. As a part of the Service, Vendor shall carry out quarterly performance analysis and capacity planning for application, database and web servers as a part of the CBS core banking infrastructure
2. Vendor has to use industry standard tools, methodology etc. required for carrying out quarterly performance analysis of systems at no additional cost to the Bank. The Vendor shall ensure that there shall not be any impact on the production servers while running the tools on the said servers.
3. The Vendor shall provide the quarterly performance analysis report including recommendations on performance enhancements if any
4. Recommendation given by the vendor needs to be implemented in consultation with the bank
5. The deliverables are as follows:
  - a. Collect Hardware configuration data
  - b. Collect Hardware inventory
  - c. Install Software collection agents and collect 24 hours of baseline data to establish the workloads
  - d. Collect system performance workload data for approximately seven (7) days
  - e. While gathering data, monitor systems for violations of threshold values
  - f. Prepare a performance profile report which may include the following
    - i. CPU
      - Percentage of CPU utilization
      - Percentage system CPU utilization
      - CPU run queue
      - Wait I/O
    - ii. Disks
      - Disk space used by file system
      - Disk IOPS
      - Average service time
    - iii. Memory
      - Memory utilization summary

- Physical memory utilization
- Scan rate
- Buffer
- Swap
- iv. Network
  - Collisions
  - Errors in / out
  - Packets in / out
  - Number of network connections
  - Subnet wise utilization report
  - Problematic interfaces
  - Network utilization summary
- v. Workload
  - CPU consumption by workload
  - Physical i/o per workload
  - Workload processes

#### *9.6.8.3 Half yearly Performance Analysis for Database*

1. Deployment Architecture Review
2. Review of integration layer
  - a. Message formats
  - b. Message size
  - c. Compression of messages
3. Identification of known performance anti-patterns in design
4. Caching and compression of data at relevant components
5. Application caching (web and application layer)
  - a. Database caching
  - b. Browser caching
6. Evaluate Possibility of parallel processing of transactions
7. Identification of contentious blocks – synchronization
8. Review of IO intensive activity
9. Identification of Failure points and its impact on performance
10. Interaction between components (message parsing, message creation etc.)
11. Transaction Management
12. Resource Management (threads, connection, instances etc.)
13. Review of the application design and deployment architecture from performance standpoint
14. Holistic review for Database technology and Channels configuration which shall include but not limited to following areas:
  - a. Database Server and Channels server (Integrated Payment Hub) Review & Analysis
  - b. Configuration Review
  - c. Code Review for major Performance Bottlenecks
  - d. Connection Poll Analysis
  - e. Review and Analysis of Database
  - f. Database instance level configuration analysis
  - g. Database Sizing according to work load modeling and business forecast
  - h. SQL Analysis
  - i. SQL Tuning
  - j. Database Code Optimization review

#### 9.6.8.4 Reporting

1. Provide regular reporting of performance management of in scope IT infrastructure
2. Compare performance statistics for each Application with planned performance parameters and report to the bank
3. Provide trend analysis of the performance for each Application and Environment during the twelve (12) most recent months
4. Provide a written report containing the findings and recommendations of performance analysis

#### 9.6.9 DC - DR Drill

The scope of work mentioned is illustrative and not exhaustive. The Bidder needs to comply with Banks' requirements and any statutory or regulatory guidelines –

1. Bidder need to perform minimum of 1 DR drill (Switch over and Switch back) for all in-scope applications and infrastructure in every Calendar quarter during the contract period.
2. Bidder needs to allocate adequate resources, do project management and work closely with the application owner for performing the DR Drills whenever planned by the Bank.
3. During DC DR drill Bidder need to allocate appropriate resources onsite to avoid any failure, any delay which will be penalized appropriately as mentioned in Section 10
4. Bidder need to perform project management and all reporting and pre and post environment preparation to avoid any failure in the drill.
5. Maintain and update Business Continuity plan, maintaining updated Disaster Recovery center plan.
6. Ensure successful replication between DC and DR.
7. Notifying Banks' promptly if a Disaster Recovery center scenario/condition arises and assist Banks in executing DR plan in such scenario
8. Perform periodic recovery testing.
9. Developing and executing test plans as per defined periodicity or as and when required
10. Documentation for Business continuity plan, Business continuity strategy plan & Roles and responsibility matrix for DC and DR team
11. Coordinate with all the users involved in DR testing
12. Track and report DR test results
13. Develop an action plan and time line to address DR testing results
14. Implement DR action plans and provide ongoing status reporting until completion of all action items
15. Initiate the DR plan for Banks in the event of Banks declared DR situation per Banks Disaster Recovery Center policies and procedures.
16. Coordinate with Banks officials and third parties during a DR situation per Banks Disaster Recovery Center policies and procedures
17. Duration of running the setup from DR will be decided by the Banks and Bidder needs to adhere to the same and maintain the SLAs.
18. Banks can call for unplanned DR drills, in that case Bidder needs to adhere to Business continuity plan and SLAs.
19. Bidder needs to share the Run book of DR Drills within a week of completion of drill.

#### 9.6.10 Environment Maintenance

1. The list of Banks' CBS and other in-scope servers are listed in Appendix K. The Bidder is required to maintain the servers & other hardware platform and environmental software for all the environments.

This would need to be in line with the Banks vision and business projections set for the contract period. Bidder needs to factor all the AMC and ATS cost of the setup taken in handover and do the vendor management, management, support and facility management.

2. Bidder needs to note that, Bidder only needs to maintain, monitor and troubleshoot the current setup and any augmentation or replacement required in the current infrastructure will be procured by bank only.
3. Bidder needs to inform the bank at least 1 year in advance for any augmentation or replacement required in the current setup along with proper utilization reports, formal proposal and empirical data.
4. Bidder needs to maintain monitor and troubleshoot all the infrastructure taken handover or augmented afterwards
5. For all the license and infrastructure procured by the bank to augment the in-scope applications, infrastructure needs to be implemented (installed / setup / configured) by the Bidder and maintained afterwards during the contract period at the required service levels

#### *9.6.10.1 Hardware utilization*

1. The Bidder is expected to maintain, troubleshoot and monitor Hardware, database and other licenses for the Solution based on the projection provided in appendix K of this RFP over the tenure of the Contract.
2. Bidder needs to study the current environment and utilization trend and submit a formal proposal to the bank at least 1 year in advance if any infrastructure requires any augmentation
3. Bidder needs to justify the requirement of augmentation with proper utilization report and empirical data and proposal
4. Bank will procure the same from the vendor and Bidder needs to implementation, facility management and coordination.
5. The Bidder also has to perform pro-active monitoring of the solution to ensure that before any breach happens they have sufficient time in procuring and installing the additional components. Applicable penalty will be imposed for any downtime on account of the Bidder's failure to monitor or delay in informing about procuring the additional resources.

#### *9.6.10.2 MIS & Reporting Server*

The Bidder has to maintain the MIS & Reporting environment such that the Bank users including branches can generate reports at any point of time. Further, if the Bidder is required to upgrade/augment the Banks existing MIS-ADF, MIS solutions, then the Bidder needs to study the current infrastructure and inform the bank accordingly so that bank can procure the same.

All Bank users access MIS for viewing and downloading reports. The daily, weekly, Monthly and Quarterly reports should be available to the Bank branches latest by 7.00 am of the next day. The Half yearly and annual reports should be made available to the bank, the day after the processing. Please refer to appendix K for the configuration details.

#### *9.6.10.3 UAT / development & Training Server*

Bidder need to ensure that UAT and Training environment need to be in sync with Production environment in terms of master data and sources. All the customization / enhancement / products / parameter change needs to be applied in these environment on periodic basis which should not be greater than 1 month.

#### *9.6.11 System & Security Audit*

1. Before live implementation / migration of any new software solution in production system, the product may be audited by Banks' appointed Software Audit firm / in house team.
2. All audit points raised by the Software auditor should be complied by the vendor without any additional cost to the Bank.
3. During warranty and AMC / ATS period, the vendor needs to comply with security and system audit observation and rectify the audit observation without any additional cost to the Bank.
4. The New solutions should have built in security features and compliant with the requirements of RBI, NABARD, UIDAI and other regulatory agencies.
5. New Solutions should have high level of reliability with particular emphasis on data integrity and security. Authorized users to use the application if available on Internet / Intranet, generate logs and audit trails.

#### *9.6.12 Call Center*

Both PKGB and KGB made an agreement with M/s Orisys India for Capex Module of Customer Call Center.

Hardware, Software licenses and implementation will be provided by M/s Orisys India.

PKGB Call Center is located at Project Office Bengaluru and KGB Call Center is located at Ernakulam (Kochi). These locations may change in future depending upon the expansion of call center.

CRM Server (Customer Relationship Management): It is to fetch customer details from CBS and manage, Lead, Request, Service and Enquiry. CRM is the main application which is having 3 levels, viz. Admin, Manager and Agent. These are having different permissions based on their Roles and Responsibilities.

Calls will be connected directly to PCs and will be handled using Headphones, there is no physical phone involved in this. A soft phone software is installed in all the Customer Call Center PCs. If required, then only IP phone can be connected.

Bidder only needs to provide Call Center agents as mentioned below, the per agent cost needs to be mentioned in the BOM and bank can increase or decrease the number of agents as per the call flow and requirement

The payment terms of the call center agent will be as per the Facility management payment terms.

##### *9.6.12.1 Facilities/ Services offered to Customer thru Customer Call Center*

IVR is available for 24 x 7 x 365.

Presently Customer Call Center will provide facilities in two languages i.e. English and Regional Language Viz. Kannada for PKGB and Malayalam for KGB.

#### *9.6.12.2 Resources at the Customer Call Center:*

At the initial stage, Customer Call Center will consists of a Manager appointed by Bank and a minimum of 3 resources/Agents at PKGB and 5 resources at KGB provided by the Bidder.

Number of Resources/ Agents at Customer Call Center may vary in both the Banks.

#### *9.6.12.3 Working hours:*

At the initial stage, Customer Call Center will be working from 8 am to 8 pm on all Banks' working days.

Planned Shift Rooster: Below mentioned is the scheduled Agents working hours, it may change according to Administrative decisions. On the basis of call center manager's decision and Govt. regulations, job routine will be placed.

##### **PKGB**

	<b>Reporting Time</b>	<b>First Break</b>	<b>Second Break</b>	<b>Logout</b>
Agent 1	8:00 AM	10:00 - 10:30	1:30 - 2:00	5:00 PM
Agent 2	10:00 AM	1:00 - 1:30	4:00 - 4:30	7:00 PM
Agent 3	11:00 AM	2:00 - 2:30	5:00 - 5:30	8:00 PM

##### **KGB**

	<b>Reporting Time</b>	<b>First Break</b>	<b>Second Break</b>	<b>Logout</b>
Agent 1 & 2	8:00 AM	10:00 - 10:30	1:30 - 2:00	5:00 PM
Agent 3 & 4	10:00 AM	1:00 - 1:30	4:00 - 4:30	7:00 PM
Agent 5	11:00 AM	2:00 - 2:30	5:00 - 5:30	8:00 PM

#### *9.6.12.4 Works to be attended by Call Center Agents:*

The Call Center Agents will be responsible for the following activities:

1. Attending all Inbound calls related to
  - a. General enquiry and account related queries on products & services of the Bank & third- party products
  - b. Service Requests
  - c. Complaints
  - d. Queries on Internet & Mobile Banking
  - e. ATM Complaints
  - f. ATM/Branch Locator
  - g. Upcoming Products/ Services
  - h. Any other calls entrusted by Call Center Manager/ Bank Team.
2. Attending to Card related services
3. Outbound Services
  - a. Lead Processing
  - b. Marketing Functions (Tele Marketing and tele Sales)
  - c. Soft Recovery follow up.

- d. New Products Campaign through Calls
  - e. Welcome Calls.
  - f. Continuation of Abandoned Calls.
  - g. Calls to customers with dormant accounts.
  - h. Customer Satisfaction Survey.
  - i. Sales of Insurance Products of the Bank and third-Party products thru tele marketing.
  - j. Awareness calls on IT Security and KYC norms.
  - k. Any other calls entrusted by Call Center Manager/ Bank Team.
4. Market survey on “Customer Satisfaction” on services provided by Bank.
  5. Data verification to ensure the correctness of existing customer details.
  6. Follow up on KYC submission for new customers.
  7. Call back to premium customers.
  8. Enrolment calls on Aadhaar and PMSBY/PMJBY/APY any other Govt Initiatives.
  9. Call back to customers who have responded to the First Time Resolution.
  10. Calling Banks’ branches/offices to convey information about new initiatives.
  11. Calls relating to Financial Inclusion initiatives of the Bank.
  12. Segregation of calls in Complaint, Lead, Request, Enquiry after each call and updating in Banks’ CRM.
  13. Attending Web Chat – Customers may contact Call Center through Web Chat from Banks’ Official Website.
  14. Managing Automatic outbound calls to customers, list provided by Bank.
  15. FAQ management.

#### *9.6.12.5 Future Plans for Customer Call Center:*

1. At the initial stage, we are expecting at least 50 calls per day for 1st month, then 100 calls per day for 2nd Month and 150 – 200 Calls per days for 3rd month. Calls may increase from 2nd quarter of the launch.
2. We are expecting at least 100 calls per Agent/per day, once Customer Call Center is popularized.
3. After reviewing the number of calls per day, type of the products bank launches and based on the customer feedback, Bank may take decision to increase the Number of resources in the Customer Call Center year by year subject to maximum of 10 during 5th year.
4. During 1st year, working hours will be as given in the table mentioned above.
5. From 2nd year, 2 agents should be provided to cover the remaining hours (8 pm to 8 am – staggering).

In addition to the present Facilities/ Services, Web chat with Customers through Website and Social Media Integration also be felicitated.

#### *9.6.13 Reports*

Bidder shall submit the reports on a regular basis in a mutually decided format. Softcopy of these reports shall be delivered automatically via email at specific frequency and to the pre-decided list of recipients.

1. A list of report is mentioned in the appendix L which Bidder need to submit as per the frequency mentioned.
2. Bidder need to adhere the schedule and times lines as mentioned below
  - a. Daily report needs to submit before 10 AM every day
  - b. Monthly report needs to be submitted not beyond 5th of succeeding month

- c. Quarterly report, half yearly and yearly needs to be submitted not beyond 10<sup>th</sup> of the succeeding month.

#### 9.6.14 Resource Training

The Bidder shall be responsible for conducting site specific training for the resource before deploying the resources at site. This training shall include training of technology and the Banks setup, Banks specific processes, services & soft skills etc. The Bidders is also expected to evaluate each trainee's performance through appropriate mechanism/ test process approved by the bank and gauge him/her basis the threshold value.

Bank may additionally interview the successful resources before their deployment on the floor. In case bank feels that the performance is not adequate, the resource must be replaced with suitable resource as defined above at no cost to the bank. Bidder needs to submit the resume and take approval from Banks Project Office for each resource before on-boarding the resource on site.

#### 9.6.15 Third Party Coordination Services

The Bank has various 3rd party service providers (Product support/ OEM/ AMC/ Warranty) for the IT infrastructure (Software and hardware). Bidder will provide 3rd party coordination services in order to ensure proper coordination, timely support/resolution and seamless operations.

1. Coordinate with these 3rd party bidders for support services
2. Maintain good relations with them on behalf of the Bank
3. Logging calls, co-ordination and follow-up with Bidder
4. Escalation of calls to the higher-level management on the Bidder's side, if need arises
5. AMC/ Warranty/ Support Tracking
6. Tracking of assets sent for repair
7. Maintain database of the various bidders with details like contact person, telephone numbers, escalation matrix, response time and resolution time commitments
8. Coordination in spares exchange process

#### 9.6.16 Miscellaneous services

1. In the event of shifting of office premises by the Bank, Bidder would depute Facility Managers/ engineer(s) for de-installation of all the hardware, coordinate with 3rd party bidders, supervise packing/transportation and installation/ commission of equipment's at new location. No extra cost will be borne by the Bank for the same. However, packing and transportation will be arranged by the Bank separately.
2. In the event of adding new office at new locations by the Bank, Bidder has to assist the Bank in setting up of LAN (cabling, I/O fixing etc.), coordinate with network Bidder for setting up of WAN connectivity etc. The cost towards raw material will be borne by the Bank
3. Suggestions/ Recommendation to improve the current infrastructure architecture for better response & security

## 9.7 Integration with surround systems (New and Existing)

### 9.7.1 Integration with surround systems

Bidder needs to note that Bidder has to extend his full support and coordination during implementation of any new systems and also needs to do minor customizations (if required) and interface building. Bidder also needs to do / change system level parameterization changes (if required) during such implementation.

### 9.7.2 NAC and Security Operation Center

Bank is planning to implement NAC solution for all end points and servers, Bidder needs to note that Bidder has to extend full support and coordination during implementation and integration of NAC solution to all end points and servers.

Bank is also planning to implement Security Operation center (SOC) and for which multiple security systems will be implemented. Bidder needs to extend its full cooperation and support and also needs to do minor customization and parameterization in the application during SOC implementation.

## 9.8 Reverse Transition / Exit Management Plan

The scope of work mentioned below is illustrative and not exhaustive:

1. Bidder shall provide the Termination/Expiration Assistance regardless of the reason for termination or expiration
2. Bidder shall comply/adhere to the Exit Plan
3. Bidder shall not make any changes to the Services under this Agreement and shall continue to provide all Services to comply with the Service Levels
4. The Bidder should perform a complete reverse transition of services to the Banks selected new vendor.
5. Bidder shall within ninety (90) days of the Signing Date, deliver to Banks a plan specifying the Termination/Expiration Assistance including the functions and services of Bidder necessary to accomplish the transfer of the responsibility for the Services from Bidder to Banks or a Third Party, in the event of the expiry of the Term or the termination of this Agreement. The plan shall at the minimum, contain the Bidder's detailed plan for Operational and Knowledge Transfer requirements and list of documentation
6. The Exit Plan shall be updated by the Bidder on an annual basis in accordance with Banks requirements and delivered to Banks for its approval on or before the start of each Contract Year.
7. Knowledge Transfer and Handover of Services
8. Bidder shall provide for a -transfer of knowledge regarding the Services
9. Provide to Bank personnel or designated third party personnel training in the performance of the Services that are to be transferred.
10. As part of Exit Plan / Reverse Transition, Bidder should transition the following details to the Bank or Service provider identified by the Bank at that point in time. These details should cover all the Applications and Infrastructure (Servers, Storage, Network, any other) managed by the Bidder before commencement of the Reverse Transition period.
  - Complete hands-on Knowledge Transfer for all relevant Banks' applications, including but not limited to the following –

- Application & Integration Architecture
  - Application set-up, installation, upgrades
  - Environment details, including Prod and Non-Prod
  - Configurations
  - Customizations (completed, in-progress, planned)
  - Change Requests (completed, in-progress, planned)
  - Debugging and fixing approach
  - Batch processing programs, configurations and environment details
  - Interfaces (internal systems, external systems)
  - Reports (batch, on-demand)
  - Application management scripts (start / stop / status / monitor)
  - Master / Configuration data used by respective application
  - Take-over and validation of all source code required to maintain and support the applications (covering product customizations, interfaces, reports, etc.)
  - All support activities including application details required to deliver the services
  - Configuration Management with latest source code, sanity tested and synchronized in Development / Test environment
  - Existing gaps / issues and proposed resolution / improvements and any other relevant aspect of each application
- Complete hands-on Knowledge Transfer for all relevant Banks' Infrastructure, including but not limited to the following –
- Infrastructure Architecture, including Server, Storage, Network and Security Architecture
  - Environment details
  - Hardware components (Servers, Storage, Networks, Peripherals)
  - Software Licenses
  - Patches and Upgrades required
  - Track End of Support for all relevant Hardware and Software components and notify Bank in case of any renewals, AMC/ATS/ New procurement/ replacement required
  - Service Delivery processes and SLAs (Incident Management, Availability Management, Capacity Planning, IT Security Management, Backup and Recovery, Database Management, Storage Management, E-mail and Collaboration Services, File and Directory Services, Tape Operations, Network Management)
  - EMS tool configurations and reports
  - IT Security policies and procedures

- End user support
  - Change Requests (completed, in-progress, planned)
  - Existing gaps / issues and proposed resolution / improvements
  - and any other relevant aspect for each infrastructure component
- Complete hands-on Knowledge Transfer for all required Processes, Policies and Procedures at the Bank, including but not limited to the following –
- Management and Governance process
  - Status reporting, Communication and Escalation process
  - Service request procedures for Infrastructure requirements
  - Regulatory aspects that impact IT operations
11. Bidder shall train personnel designated by Banks and/or its designee(s) in the case of any processes or associated Equipment, Materials, Systems or tools used in connection with the provision of the Services as needed for such personnel to assume responsibility for performance of the Services;
  12. Provide to Bank and/or its designee(s) information regarding the Services as necessary to implement the Exit Plan, and providing such information regarding Services as reasonably necessary for Banks or its designee to assume responsibility for continued performance of Services in an orderly manner so as to minimize disruption in the operations
  13. Provide Bank or its designee a complete copy of the Banks IP in Bidder's possession or control and of the Bidder IP that Bank is licensed or otherwise authorized to use
  14. Explain the change management process, problem management process, Policies and Procedures Manual, reports and other standards and procedures to Banks or its designee's operations staff
  15. Provide technical documentation for Software used by Provider to provide the Services as needed for continuing performance of the Services
  16. Identify, record and provide release levels for Software and updating such records of release levels prior to and during transition of the Services
  17. Provide assistance to Banks or its designee in notifying third-party vendors of procedures to be followed during the transition of Services
  18. Ensure transfer of the Configuration Management Database (CMDB) that contains details of the data elements that are used in the provision and management of the Services. The CMDB must be in a form that can be migrated to a new environment that manages the Configuration Items
  19. Bidder shall provide other technical and process assistance as requested by Banks and/or its designee(s)
  20. The vendor will not be allowed to take any Banks IP or information
  21. Bidder need to ensure at least 6 months of Exit Management of Reverse Transition Plan
  22. During Reverse transition Bank will not pay any additional cost to the Bidder for doing reverse transition
  23. The Bidder needs to comply with Banks requirements and any statutory or regulatory guidelines

## 9.9 Project Management Framework

The Bidder is required to provide project management & governance for the scope of the RFP throughout the tenure of the contract

Project Management activities will be carried out by Bidder with support from the Bank as required. The Project Management Office will address the overall allocation of work packages and direct co-ordination of activities and portfolio governance.

The Bidder should follow an industry standard Project Management methodology which has been agreed with the Bank.

The Successful Bidder shall develop and implement a governance mechanism to institutionalize and effective approach towards planning and organizing, acquiring and implementing, delivering and supporting and monitoring service performance of the services deployed in bank to support its business requirements and objectives.

#### 9.9.1 Principles of Governance

For managing the operations effectively and meeting the contractual requirements and SLAs, bank proposes to set-up governance mechanism with following principles. The Bidder will assist bank by adhering to the below principles:

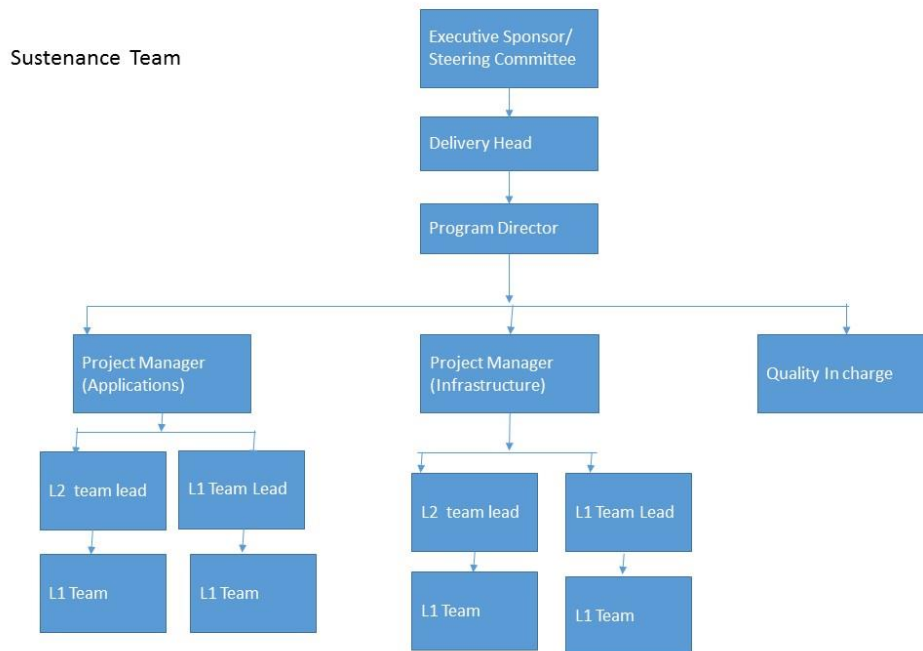
1. Bringing focus and discipline in governance mechanism;
2. Setting clear policies and procedures;
3. Strengthening ethics and accountability;
4. Continuous vigilance and adaptation;
5. Strong financial oversight;
6. Independent audits to bring more objectivity.
7. Strong quality checks

#### 9.9.2 Indicative structure of governance set-up

The Successful Bidder is required to develop the framework and capacity for making and implementing decisions required to manage and control IT Infrastructure and services monitoring and management within the business. IT Governance scope shall encompass the structures, processes, responsibilities, decisions for operation of IT Infrastructure and services monitoring and management. The Successful Bidder shall be provided with bank' existing Policies/procedures/SOPs etc. which can be used to develop governance and Quality framework for IT services management in bank.

The Successful Bidder should propose an organization structure with regard to governance of the Contract.

### Sustenance Team



Above structure is indicative and bank require 2 exclusive project managers onsite to manage the project and governance framework during sustenance phase.

1. The Program Director and Project Managers of Application and Infrastructure must be available full-time at the Banks premises during working hours.
2. The Bidder's Program Director must be the SPOC for the Banks Program Director, and must be proficient with the contract, including licensing policies and compliance to statutory regulatory guidelines.
3. The Bank reserves the right to evaluate and select the Program Director and Project Managers based on CV's and interview, and also ask for replacement where required.

#### 9.9.3 Governance Structure

Sl. No.	Governance Layer	Governance Participants		Responsibilities	Review Frequency
		Bank			
1	Steering Committee	Executive Sponsor	Executive Sponsor	1. Define strategic objectives 2. Ensure continual executive 3. Performance reporting 4. Issue resolution (Final escalation level)	Bimonthly

<b>2</b>	Program Management	Head-IT (Infrastructure and Application)	Program Director, Project Managers for Infrastructure & Application	1. Account Management 2. Monitor service delivery 3. Single point of contact for issue escalation 4. Issue resolution (Intermediate escalation)	Monthly
<b>3</b>	Operations Management	Service Owners/ Operations Managers	Service Delivery Managers	1. Issue resolution and escalation 2. Manage people issues 3. Plan, track and review SLAs 4. Plan and track time lines	Ad-hoc

#### 9.9.4 Performance management and reporting

The Successful Bidder shall be required to report on the services offered to bank on a periodic basis or as and when required by bank. The Successful Bidder shall provide reports/ data that would include but not be limited to:

1. Performance report with respect to all service levels;
2. Report of the ongoing and planned changes performed;
3. Any ad-hoc report that may be required by bank;
4. Periodic reports to governance committees
5. Quality adherence reports

These reports would compare the quality of service provided with the defined/target SLAs. The list of reporting, should at a minimum, include the reports mentioned in Appendix L.

During transition, reporting and review of performance metrics shall be carried at mutually agreed frequency (to be decided along with Service Provider).

The template and any other reporting requirement shall be agreed on mutually.

In addition, the Successful Bidder will provide assistance to bank for audit/compliance related requirements, including but not limited to:

- Providing sample data as required within the timeline; and
- Coordinating with other sites for providing data samples.

1. Setup the project management office and framework comprising of:

- a. Project charter formulation
  - b. Project risk analysis
  - c. Assistance in project management and project delivery team identification and resourcing
  - d. Change management procedures
  - e. Project planning and detailing
  - f. Project quality management procedures
  - g. Employ a formal project methodology on all projects undertaken with the level of detail and control scaled appropriately to the magnitude of the project effort and adhere to all project management processes and procedures
2. Project Manage the following phases of the project:
- a. Current State assessment
  - b. Business parameterization
  - c. Gap analysis and Customization
  - d. User Acceptance testing
  - e. Data migration, if any
  - f. Go-live/ Rollout
3. Closure of issues pending for resolution
  4. Measure the progress made in the implementation of the project
  5. Track customization and gaps
  6. Monitor closure of gaps and customizations as per delivery schedules
  7. Provide regular updates to the steering committee and board as required by the Bank
  8. Participate in all technical and functional discussions relating to the projects
  9. The Bidder is required to project manage the Go-Live and provide executive reports.
  10. Bidder need to provide escalation matrix for all projects at the time of Kick off meeting.
  11. Architecture validation, review and reporting for Core Banking- Infrastructure, proposed architecture validation, configuration, installation, review of deployment, visibility & detailed reporting.
  12. Program Management assistance in the installation, implementation, configuration, testing and go-live for infrastructure & applications (CBS Upgrade, and Data Archival and Purging).
  13. Program management of the Calendar quarter DC – DR drill. As part of the exercise, a detailed pre-drill report needs to be shared evaluating the Processes, dependencies, risks, contingencies, and dependencies. Post drill report capturing the events of the DC-DR drill including success/failure of instances, validation of the root cause analysis, evaluating resolutions including impact assessment, etc.
  14. Execute Benchmarking of the CBS environment based on the existing application & infrastructure including sharing of report and observation and validation.
  15. Project Status meeting, steering committee meeting etc. needs to be done with bank stakeholders and Bidder on mutually agreed timelines

#### 9.9.5 Quality Assurance (QA)

Scope related to Quality Assurance (QA) shall include:

1. Developing and employing a quality assurance program, subject to bank approval, designed to promote performance of the scope of work with a high level of quality, focusing on measuring and improving reliability, speed, cost effectiveness, and customer satisfaction.
2. Writing and maintaining procedures and measurements on all quality assurance activities associated with the work. Ensuring that the quality metrics and procedures employed are consistent with similar standards in Banks peer group and/or in the provision of similar professional services.
3. Ensuring compliance with a published quality assurance program, with adequate internal controls and verification activities.
4. Conducting periodic quality audits of the work rendered.
5. Documenting audit findings and remediating non conformances within a stipulated time period. Allowing bank to perform audits that will focus on the Successful Bidder's adherence to its quality assurance procedures and standards; on the metrics gathered to support quality assurance activities; and on the Successful Bidder's efforts to improve overall quality. The Successful Bidder will cooperate fully and assist bank with any such audits by the bank, its agents, RBI and any other statutory/regulatory bodies.

#### 9.9.6 Geographical Scope

The successful Bidder shall provide dedicated experienced and qualified onsite support resources at the DC/NDR/DR locations for managing the above operations. The Successful Bidder should ensure that the resources deployed, at DC, DR and other in scope locations, shall meet the RFP requirements and SLAs. For providing the services, Successful Bidder shall be allowed to access Banks' infrastructure only through the Banks' network. Access from any office of the Bidder or remote connectivity set-up outside the Banks' network shall not be permitted in any circumstances.

The location of different sites is as follows:

Site Name	City	State
<b>Data Center (DC)</b>	Bengaluru	Karnataka
<b>Disaster Recovery Center (DRC)</b>	Mumbai	Maharashtra
<b>Near DR (NDR) (planned in future)</b>	Bengaluru	Karnataka

**Note:** If bank shifts any of the sites mentioned above (DC/DR/NDR/HO/RO) to a new location, the successful Bidder shall provide respective services from the new location.

#### 9.10 Other important points to be noted by the Bidder

1. The Bidder will be the Single Point of Contact / reference to the Bank. The Bank will enter into agreement with the selected Bidder only. However, the Bidder must confirm to the Bank that they are willing to enter into back to back teaming agreement with OEM for risk mitigation in meeting the deliverables, implementation and other service commitments as per the RFP the Bidder makes to the Bank under the Contract to be entered into. The Bidders must share a copy of the back lining arrangement with OEM, with the Bank during bid submission.
2. Bank will only facilitate the interaction with respective vendors. However, end-to-end responsibility for integration will remain with the Bidder only.
3. The Bank may require the Bidder to address additional requirements that are not either of the following:
  - a. Bug fixes
  - b. Gaps found during base version testing

- c. Gaps against the functionalities in existing system
4. The Bank will compensate the Bidder on the basis of a man-day rate provided by the Bidder that will remain fixed through the Contract period. Bidder must share rate card in the Bill of Material (refer Annexure 20), which clearly specifies the role-wise rate of the resource.
  5. The Bidder will have to carry out all the customization related work at the premises of the Bank or off-site in case the customization cannot be carried out at the Bank premises. The Bank will have to be a party to the Functional Requirements Specifications sign-off, UAT, UAT sign-off, Installation sign-off and Implementation sign-off. The Bidder will have to install and commission the software for customization and UAT as per Project Plan failing which the Bidder will have to be liable to pay the Bank the applicable penalty for delay (Liquidated damages). The Bidder will have to provide all tools, testing instruments, drivers, consumables, etc. required to install and customize and test the software free of any fees or charges or any expenses. The Bidder will have to document and submit to the Bank all the testing activities, procedures and results.
  6. Successful Bidder will be solely responsible for any delay in integration with Banks' business applications. Port application in production environment.
  7. No OEM can directly bid for this tender and they has to come with SI only. One OEM can bid with multiple SI but one SI can bid only once.
  8. The Bidder is required to ensure that the software provides interfaces to the other application systems at the Bank at no additional cost or fees or charges or expenses. The Bidder will have to provide the Bank weekly progress reports on the bugs/problems reported/points taken up with schedule of date of reporting, date of resolving, and status for all kind of bugs and problems whether reported by bank or Bidder staff.
  9. Bidder needs to submit the team profile in the format specified in Annexure 10
  10. Bidder needs to submitted experience / credential letter on customer's letter head.
  11. To provide and apply all upgrades and patches free of cost during the warranty / ATS / AMC period. Such minor upgrades / patches/ updates should be applied immediately after release and shall assist the Bank in upgrading without impacting the services during the period of contract at no cost to the Bank.
  12. The Bidder has to provide all customization source codes and Documentation to the bank. The relevant IPR related to customization will be with Bank.
  13. Provide all statutory upgraded / Customizations during Contract period.
  14. All the Java, Browser and other setting which is required to run Finacle and other proposed application in any location of the bank has to be done and to be supported by the Bidder.
  15. Bidder needs to note that for all the new deployment, new customizations / interfaces and changes in the existing customizations / interfaces, High level Diagram (HLD), Low Level Diagram (LLD), Functional Specification Document (FSD), approval from bank and a proper SDLC life cycle needs to follow. All the change management process and patch management process need to be followed.
  16. All Facility Management engineers deployed other than L1 resources should be on the payroll of the Bidder/OEM and should not deploy Franchise engineers. L1 resources can be on the payroll of the Bidder/OEM/ consortium partner. Bidder should sign back to back agreement /MOU with the consortium partner, which will be valid for contract duration. This should be provided as part of the proposal.
  17. Bidder has to take care of all the integration costs for all the Applications / Hardware/ Software / Ecosystem proposed in this RFP with all the interfaces of the bank in Appendix M. Bank will not pay any extra cost for any integration with any of the Banks applications
  18. All the resources which will be deployed onsite or working on the project mandatorily needs to have a proper background check and Bidder needs to submit the below mentioned to the bank for every resource, and confirm the same every 3 months:

- a. Confirmation on completion of Background police verification
  - b. 2 Passport size photographs
  - c. Annexure 18 dully filled and sign by Bidder as well as employee
  - d. Address proof
  - e. Identify proof
19. These background verification documents are also mandatory to be submitted in case of temporary arrangement or changing of resources.
20. For all the facility management activities, all admins (DBA, Server, Storage, and Network) needs to maintain a checklist which will be prepared in consultation with bank and needs to be updated quarterly. Bidder needs to maintain these checklists and the same needs to submit to the Bank on monthly basis with proper remarks.

## **10. Service Level and Penalties**

Bank intends to select the Successful Bidder who shall have common vision to deliver high quality of services to the users.

Definition of terms used in this section is as follows:

1. **“Downtime”** shall mean the time period for which the specified services / components with specified technical and service standards are not available to Bank and excludes the scheduled outages planned in advance and the bandwidth link failures within SLA limits agreed with network service providers.
2. **“Incident”** refers to any event / abnormalities in the functioning of the equipment / specified services that may lead to deterioration, disruption in normal operations of Banks’ services.
3. **“Resolution Time”** shall mean the time taken in resolving (diagnosing, trouble shooting and fixing) an incident after it has been reported at the helpdesk. The resolution time shall vary based on the category of the incident reported at the service desk. The category shall be defined and agreed between Bank and Service Provider.

Following are the requirements related to managing the service levels to be maintained in providing such services:

### **10.1 Service Level Agreement and Targets**

This section includes the SLAs which Bank requires the Successful Bidder to manage as key performance indicators for the scope of work. The objective of the SLA is to clearly define the levels of services to be delivered by the Successful Bidder to Bank for the duration of the contract.

The following section reflects the measurements to be used to track and report performance on a regular basis. The targets shown in the following sections are for the period of contractor its revision whichever is earlier.

### **10.2 Service Level Measurement**

Bank has defined in-scope services in the RFP and corresponding SLAs below. Bank shall evaluate the performance of the Successful Bidder on these SLAs compliance as per the periodicity defined.

The Successful Bidder shall provide, as part of monthly evaluation process, reports to verify the Successful Bidder’s performance and compliance with the SLAs. Automated data capturing, and reporting mechanism will be used for SLA reporting. The bank will leverage existing EMS tools to monitor and

manage the Solution / IT Infrastructure.

If the level of performance of Successful Bidder for a particular metric fails to meet the minimum service level for that metric, it will be considered as a **Service Level Default**.

**Note:** All service level penalties will be reconciled at the end of every period.

### 10.3 Uptime Rules and LD (Liquidated Damages) for Uptime

While framing the rules for uptimes and LD, the Bank is guided by the following three principles:

- 1) No double LD/Ripple effect
- 2) Calculation of LD to be simple
- 3) LD will be levied for delay, performance and uptimes separately with Cap under each category, with an overall Cap, under all categories put together, per annum.

The intent of prescribing LD for uptimes is with a view to ensure availability of services at all times to Banks customers and end users and avoid business risk/ reputation risk and thus protect Banks interest.

#### **Uptime (Monthly):**

Sl. No.	Category	Required uptime
1.	CBS and associated Hardware/ Software in DC, DR, NDR	99.90%
2.	Network Equipment	99.90%
3.	Primary channels (interfaces) and associated Hardware/ Software	99.90%
4.	Other channels (interfaces) and associated Hardware/ Software	99.90%
5.	Other Applications and associated Hardware/ Software	99.90%
6.	Services (Application, Branch Channel and Deployment of release)	99.90%
7.	Branch uptime	98.00%
8.	Hardware (Servers, Storage, Network Devices) downtime that does not have application level impact	99.90%

#### **Uptime Rules:**

- 1) Wherever System Integrator monitors onsite, the downtime calculation starts from the time of hardware/ software failure leading to denial of service.
- 2) Wherever Bank monitors, the downtime calculation starts from the time of reporting by the Bank.
- 3) Preventive or scheduled maintenance done without affecting the functioning of branches and delivery channels is not considered as downtime, provided the System Integrator communicates to the Bank about details of planned or scheduled activities at least 24 hrs in advance during working days and gets all necessary approvals as per Banks policies before undertaking the planned maintenance activities.

**Formula for calculating uptime percentage:**

(Total contracted hours in a month - downtime during contracted hour) \* 100 / Total contracted hours in a month)

Mean Time to Report	Immediate
Mean Time to Respond	Not more than 1 hour in DC/DRC. Not more than 2 hours in other locations within a distance of 60 KM from Regional Office Not more than 3 hours in locations where the distance exceeds 60 KM from Regional Office
Mean Time to Rectify/ Repair	Not more than 2 hours in DC/DRC. Not more than 4 hours in other locations within a distance of 60 KM from Regional Office Not more than 6 hours in locations where the distance exceeds 60 KM from Regional Office
Mean time to report, respond and rectify is applicable even when failure of equipment does not result in denial of service to end users.	
If the failure of any component in any hardware/ network equipment / product occurs more than 3 times in 6 months, such hardware/ network equipment, the System Integrator to recommend replacement of the subject hardware/network device.	
For any Hardware not repaired as defined under MITR, LD will be charged as per Table 1 below even though Application is working.	

**Uptime and Applicable LD Calculation (mts means Minutes):**

CBS & Related Hardware & Software	
Category wise Rules	Applicable LD
<b>1. Failures of CBS and all associated Hardware &amp; Software at DC / DRC (associated Hardware &amp; Software include Servers, Storage, Application Servers, Databases and any other devices or platform software component or library)</b> <i>For LD with respect to down times of failure of CBS and all related Hardware &amp; Software at DC / DRC for CBS, higher of 1 (a) or 1 (b) will be charged.</i>	
<b>Uptime</b>	<b>99.9% per Month</b>
<b>a) CBS and all associated Hardware/ Software failure at DC / DRC for more than 30 continuous minutes</b>	
1. Beyond 30 minutes up to 44 minutes.	Rs. 2,000 per minute for every minute beyond 30 minutes.
2. Downtime of above 44mts & up to 88 mts	Rs. 4,000 per minute for every minute beyond 44 minutes.
3. Downtime of above 88mts & up to 132 mts	Rs. 6,000 per minute for every minute beyond 88 minutes
4. Downtime of above 132mts & up to 176 mts	Rs. 8,000 per minute for every minute beyond 132 minutes
5. Downtime of above 176mts & up to 220 mts	Rs. 10,000 per minute for every minute beyond 176 minutes
6. Downtime of above 220mts & up to 264 mts	Rs. 12,000 per minute for every minute beyond 220 minutes
7. Downtime of above 264mts & up to 308 mts	Rs. 14,000 per minute for every minute beyond 264 minutes
8. Downtime of above 308mts & up to 352 mts	Rs. 16,000 per minute for every minute beyond 308 minutes
9. Downtime of above 352mts & up to 396 mts	Rs. 18,000 per minute for every minute beyond 352 minutes

10. Downtime of above 396mts & up to 440 mts	Rs. 20,000 per minute for every minute beyond 396 minutes
11. Downtime of above 440mts	Rs. 22,000 per minute for every minute beyond 440 mts or 5% of the total annual cost, whichever is higher
<b>b) CBS and all associated Hardware / Software failure at DC / DRC for less than 30 continuous minutes but overall downtime during the month exceeding 44 minutes</b>	
1. Downtime of above 44mts & up to 88 mts	Rs. 4,000 per minute for every minute beyond 44 minutes
2. Downtime of above 88mts a up to 132 mts	Rs. 6,000 per minute for every minute beyond 88 minutes
3. Downtime of above 132mts a up to 176 mts	Rs. 8,000 per minute for every minute beyond 132 minutes
4. Downtime of above 176mts up to 220 mts	Rs. 10,000 per minute for every minute beyond 176 minutes
5. Downtime of above 220mts a up to 264 mts	Rs. 12,000 per minute for every minute beyond 220 minutes
6. Downtime of above 264 mts up to 308 mts	Rs. 14,000 per minute for every minute beyond 264 minutes
7. Downtime of above 308mts up to 352 mts	Rs. 16,000 per minute for every minute beyond 308 minutes
8. Downtime of above 352mts up to 396 mts	Rs. 18,000 per minute for every minute beyond 352 minutes
9. Downtime of above 396mts up to 440 mts	Rs. 20,000 per minute for every minute beyond 396 minutes
10. Downtime of above 440mts	Rs. 22,000 per minute for every minute beyond 440 mts or 5% of the total annual cost, whichever is higher

Network Devices	
Category wise Rules	Applicable LD
<b>2. Network Devices to be maintained by System Integrator at DC, DRC, NDR (once NDR is implemented by the Bank), Branches, Head Offices, Regional Offices, Project Office</b> <b>For LD with respect to down time of Network Devices</b> <b>a. Higher of 2(a) or 2(b) will be charged for Network Devices maintained at DC, DRC, NDR</b> <b>b. 2(c) will be charged for Network Devices maintained at Branches, Head Offices, Regional Offices, Project Office</b>	
<b>Uptime</b>	<b>99.90% per Month</b>
<b>a) Network Devices failure at DC, DRC, NDR for more than 30 continuous minutes</b>	
1. Beyond 30 minutes up to 44 minutes.	Rs. 2,000 per minute for every minute beyond 30 minutes.
2. Downtime of above 44 mts & up to 88 mts	Rs. 4,000 per minute for every minute beyond 44 minutes.
3. Downtime of above 88mts & up to 132 mts	Rs. 6,000 per minute for every minute beyond 88 minutes
4. Downtime of above 132mts & up to 176 mts	Rs. 8,000 per minute for every minute beyond 132 minutes
5. Downtime of above 176 mts & up to 220 mts	Rs. 10,000 per minute for every minute beyond 176 minutes
6. Downtime of above 220mts & up to 264 mts	Rs. 12,000 per minute for every minute beyond 220 minutes
7. Downtime of above 264mts & up to 308 mts	Rs. 14,000 per minute for every minute beyond 264 minutes
8. Downtime of above 308mts & up to 352 mts	Rs. 16,000 per minute for every minute beyond 308 minutes
9. Downtime of above 352mts & up to 396 mts	Rs. 18,000 per minute for every minute beyond 352 minutes
10. Downtime of above 396mts & up to 440 mts	Rs. 20,000 per minute for every minute beyond 396 minutes
11. Downtime of above 440mts	Rs. 22,000 per minute for every minute beyond 440 mts or 5% of the total annual cost, whichever is higher

**b) Network Devices failure at DC, DRC, NDR for less than 30 continuous minutes but overall downtime during the month exceeding 44 minutes**

1. Downtime of above 44mts & up to 88 mts	Rs. 4,000 per minute for every minute beyond 44 minutes
2. Downtime of above 88mts & up to 132 mts	Rs. 6,000 per minute for every minute beyond 88 minutes
3. Downtime of above 132mts & up to 176 mts	Rs. 8,000 per minute for every minute beyond 132 minutes
4. Downtime of above 176mts & up to 220 mts	Rs. 10,000 per minute for every minute beyond 176 minutes
5. Downtime of above 220 mts a up to 264 mts	Rs. 12,000 per minute for every minute beyond 220 minutes
6. Downtime of above 264mts & up to 308 mts	Rs. 14,000 per minute for every minute beyond 264 minutes
7. Downtime of above 308mts & up to 352 mts	Rs. 16,000 per minute for every minute beyond 308 minutes
8. Downtime of above 352mts & up to 396 mts	Rs. 18,000 per minute for every minute beyond 352 minutes
9. Downtime of above 396mts & up to 440 mts	Rs. 20,000 per minute for every minute beyond 396 minutes
10. Downtime of above 440mts	Rs. 22,000 per minute for every minute beyond 440 mts or 5% of the total annual cost, whichever is higher

**c) Network Devices failure at Branches, Head Offices, Regional Offices, Project Office**

1. Downtime of above 44mts & up to 88 mts	Rs. 2,000 per minute for every minute beyond 44 minutes
2. Downtime of above 88mts & up to 132 mts	Rs. 3,000 per minute for every minute beyond 88 minutes
3. Downtime of above 132mts & up to 176 mts	Rs. 4,000 per minute for every minute beyond 132 minutes
4. Downtime of above 176mts & up to 220 mts	Rs. 5,000 per minute for every minute beyond 176 minutes
5. Downtime of above 220mts & up to 264 mts	Rs. 6,000 per minute for every minute beyond 220 minutes
6. Downtime of above 264mts & up to 308 mts	Rs. 7,000 per minute for every minute beyond 264 minutes
7. Downtime of above 308mts & up to 352 mts	Rs. 8,000 per minute for every minute beyond 308 minutes
8. Downtime of above 352mts & up to 396 mts	Rs. 9,000 per minute for every minute beyond 352 minutes
9. Downtime of above 396mts & up to 440 mts	Rs. 10,000 per minute for every minute beyond 396 minutes
10. Downtime of above 440mts	Rs. 12,000 per minute for every minute beyond 440 mts or 0.25% of the total annual cost, whichever is higher

**3. Failures of Channels (Interfaced with CBS) and associated Hardware & Software – OLT, ATM, NEFT, RTGS, POS, AEPS, e-KYC, Pass Book Kiosk, Cash Deposit Kiosk, Mobile Banking & Internet Banking and ALM, AML, CKYC for overall downtime during the month exceeding 44 minutes.**

**(Note: LD will be calculated independently for each channel and application).**

<b>Uptime</b>	<b>99.90% per Month</b>
<b>Category wise Rules</b>	<b>Applicable LD</b>
1. Downtime of above 44mts & up to 88 mts	Rs. 1,000 per minute for every minute beyond 44 minutes
2. Downtime of above 88mts & up to 132 mts	Rs. 2,000 per minute for every minute beyond 88 minutes
3. Downtime of above 132mts & up to 176 mts	Rs. 3,000 per minute for every minute beyond 132 minutes
4. Downtime of above 176mts & up to 220 mts	Rs. 4,000 per minute for every minute beyond 176 minutes
5. Downtime of above 220mts & up to 264 mts	Rs. 5,000 per minute for every minute beyond 220 minutes
6. Downtime of above 264mts & up to 308 mts	Rs. 6,000 per minute for every minute beyond 264 minutes
7. Downtime of above 308mts & up to 352 mts	Rs. 7,000 per minute for every minute beyond 308 minutes

8. Downtime of above 352mts & up to 396 mts	Rs. 8,000 per minute for every minute beyond 352 minutes
9. Downtime of above 396mts & up to 440 mts	Rs. 9,000 per minute for every minute beyond 396 minutes
10. Downtime of above 440mts	Rs. 10,000 per minute for every minute beyond 440 minutes or max 0.5% of the Total Annual Cost, whichever is higher

**4) Failures of Channels (Interface) other than the one specified in (3) (along with associated Hardware & Software), like Digi App, KCC LMS, GST, PFMS (please refer Appendix K for the complete list) for overall downtime during the month exceeding 44 minutes.**

**(Note: LD will be calculated independently for each channel).**

<b>Uptime</b>	<b>99.90% per Month</b>
<b>Category wise Rules</b>	<b>Applicable LD</b>
1. Downtime of above 44mts & up to 88 mts	Rs. 500 per minute for every minute beyond 44 minutes
2. Downtime of above 88mts & up to 132 mts	Rs. 750 per minute for every minute beyond 88 minutes
3. Downtime of above 132mts & up to 176 mts	Rs. 1,000 per minute for every minute beyond 132 minutes
4. Downtime of above 176mts & up to 220 mts	Rs. 1,250 per minute for every minute beyond 176 minutes
5. Downtime of above 220mts & up to 264 mts	Rs. 1,500 per minute for every minute beyond 220 minutes
6. Downtime of above 264mts & up to 308 mts	Rs. 1,750 per minute for every minute beyond 264 minutes
7. Downtime of above 308mts & up to 352 mts	Rs. 2,000 per minute for every minute beyond 308 minutes
8. Downtime of above 352mts & up to 396 mts	Rs. 2,250 per minute for every minute beyond 352 minutes
9. Downtime of above 396mts & up to 440 mts	Rs. 2,500 per minute for every minute beyond 396 minutes
10. Downtime of above 440mts	Rs. 3,000 per minute for every minute beyond 440 mts or 0.25% of the total annual cost, whichever is higher

Note for Sl. No. 3 and 4:

- LD, if any shall be charged for maximum of 5 channels at any point of time.
- LD shall be applicable only for the channels which are having redundancy / failover solution/ system.

**5) Failures of other applications. The calculation of LD to be done independently for various applications (based on original cost of respective applications as given in Appendix-K)**

<b>Uptime</b>	<b>99.90% per Month</b>
1. Downtime of above 44mts & up to 88 mts	0.5% of original cost of respective application.
2. Downtime of above 88mts & up to 132 mts	1 .0% of original cost of respective application.
3. Downtime of above 132mts & up to 176 mts	1.5% of original cost of respective application.
4. Downtime of above 176mts & up to 220 mts	2.0% of original cost of respective application.
5. Downtime of above 220mts & up to 264 mts	2.5% of original cost of respective application.
6. Downtime of above 264mts & up to 308 mts	3.0% of original cost of respective application.
7. Downtime of above 308mts & up to 352 mts	3.5% of original cost of respective application.
8. Downtime of above 352mts & up to 396 mts	4.0% of original cost of respective application.
9. Downtime of above 396mts & up to 440 mts	4.5% of original cost of respective application.
10. Downtime of above 440mts	10% of original cost of respective application.

**APPLICABLE IF NLBS (Network Load Balancer Solution) or ADC (Application Delivery Controller) IS INTRODUCED BY THE BANK**

**6) Removal of more than one CBS Application server from NLBS for more than 30 continuous minutes during 8AM to 8 PM in all Bank working days.**

Uptime	99.90% per Month
1. Beyond 30 minutes up to 44 minutes.	Rs. 1,000 per minute for every minute beyond 30 minutes.
2. Downtime of above 44 mts & up to 88 mts	Rs. 2,000 per minute for every minute beyond 44 minutes.
3. Downtime of above 88mts & up to 132 mts	Rs. 3,000 per minute for every minute beyond 88 minutes
4. Downtime of above 132mts & up to 176 mts	Rs. 4,000 per minute for every minute beyond 132 minutes
5. Downtime of above 176mts & up to 220 mts	Rs. 5,000 per minute for every minute beyond 176 minutes
6. Downtime of above 220mts & up to 264 mts	Rs. 6,000 per minute for every minute beyond 220 minutes
7. Downtime of above 264mts & up to 308 mts	Rs. 7,000 per minute for every minute beyond 264 minutes
8. Downtime of above 308mts & up to 352 mts	Rs. 8,000 per minute for every minute beyond 308 minutes
9. Downtime of above 352mts & up to 396 mts	Rs. 9,000 per minute for every minute beyond 352 minutes
10. Downtime of above 396mts & up to 440 mts	Rs. 10,000 per minute for every minute beyond 396 minutes
11. Downtime of above 440mts	Rs. 22,000 per minute for every minute beyond 440 minutes or 1% of the Original cost of Hardware and Software, whichever is higher.

**7. Denial of Service at Branches**

Uptime	98.0% per Month
<b>a) Denial of Service for CBS. Though DC / DRC is functional, and all Regional Offices are functional</b>	
If Branches are not working for any reason which is attributable for Bidder	Rs. 1000 per day or part thereof for each branch where service is denied.

**8) Failures of Hardware & Platform Software that have downtime impact, but don't have a direct impact on applications (for overall downtime during the month exceeding 44 minutes)**

Uptime	99.90% per Month
Category wise Rules	Applicable LD
1. Downtime of above 44mts & up to 88 mts	Rs. 1,000 per minute for every minute beyond 44 minutes
2. Downtime of above 88mts & up to 132 mts	Rs. 1,500 per minute for every minute beyond 88 minutes
3. Downtime of above 132mts & up to 176 mts	Rs. 2,000 per minute for every minute beyond 132 minutes
4. Downtime of above 176mts & up to 220 mts	Rs. 2,500 per minute for every minute beyond 176 minutes
5. Downtime of above 220mts & up to 264 mts	Rs. 3,000 per minute for every minute beyond 220 minutes
6. Downtime of above 264mts & up to 308 mts	Rs. 3,500 per minute for every minute beyond 264 minutes
7. Downtime of above 308mts & up to 352 mts	Rs. 4,000 per minute for every minute beyond 308 minutes
8. Downtime of above 352mts & up to 396 mts	Rs. 4,500 per minute for every minute beyond 352 minutes
9. Downtime of above 396mts & up to 440 mts	Rs. 5,000 per minute for every minute beyond 396 minutes
10. Downtime of above 440mts	Rs. 6,000 per minute for every minute beyond 396 minutes or 0.25% of total annual cost, whichever is higher

## 10.4 SLA for Management, Governance and Reporting

SN	Service Details	SLA Measurement	SLA	Penalty	Measurement tool	Remarks
1	Project Initiation	The Successful Bidder is expected submit the Transition plan within 7 days from the effective date mentioned in the PO, and also mobilize the team as per commencement of work for this project. Commencement of work would mean reporting of Successful Bidder's resources at the designated Bank's locations for project.	Transition plan and project team deployed within defined timeline	No Penalty	Manual	Selected Bidder shall ensure 1. Transition plan is submitted within 7 days from effective date mentioned in the PO 2. Project Director & Project Managers are nominated and communicated to the Banks at least 4 weeks before the effective date mentioned in the PO and deployed on the effective date mentioned in the PO. 3. Required Project Team is deployed on the effective date mentioned in the PO
			After the due date stated in the RFP	1 (one) percent of the Transition Cost for every week of delay or part thereof	Manual	
2	Transition	The vendor is expected to finish the transition as per transition timeline and scope mentioned in the RFP	Transition to be completed within 6 months from effective date mentioned in the PO or 31-Mar-2019 (whichever is earlier), which should include Managing AS - IS	5 (five) percent of Transition cost for every week of delay or part thereof.	Manual	If Bidder is not able to get bank sign-off within 6 months from effective date mentioned in the PO or 31-Mar-2019 (whichever is earlier), then penalty will be imposed on the Bidder

SN	Service Details	SLA Measurement	SLA	Penalty	Measurement tool	Remarks
			Operation as well as documents and bank sign off on documents			
3	Report generation	Adherence to delivery of SLA report and Appendix L reports	100%	The SLA reports and Appendix L to be shared with the bank as per the timelines mentioned (According to the frequency). For each default the penalty of 0.50% of Quarterly Payment per week or part thereof may be charged to the Bidder	EMS Tools	The indicative list of required reports is mentioned in Appendix L of RFP. However, bank may add or remove reports as at its discretion.
4	Service Improvement Plan	Submission of quarterly improvement plan and implementation report	100%	Penalty shall be 0.5% of Quarterly Payment for each week of delay or part thereof.	Manual	
5	Incident Management Process	Bidder should ensure that any incidents with respect to the scope of	100%	Penalty shall be 0.1% of Quarterly Payment	EMS Tool (for monitoring & identifying the incident), Manual or EMS	

SN	Service Details	SLA Measurement	SLA	Penalty	Measurement tool	Remarks
		applications or infrastructure supported / managed are identified and reported to the Bank within 10 minutes from the time of occurrence of the incident.		for every 1min delay in reporting the incident beyond the permitted time window for Incident Reporting.	tool for reporting the incident to Bank.	
6	Planned Activities	Planned activities should be notified to the Bank and approval should be taken at least 24 hours in advance	100%	If Bidder carries out unplanned activities without Banks written approval, the same will be treated as Unplanned Downtime and corresponding penalty clauses (Refer Uptime SLAs in above section) will apply. Additionally, Bank may levy a penalty of 0.5% of the Quarterly Payment for each such downtime carried out	Manual	As part of Transition process, Bidder should establish a formal process for conducting planned down-time activities, in consultation with the Bank.

SN	Service Details	SLA Measurement	SLA	Penalty	Measurement tool	Remarks
				without Banks approval.		
7	Antivirus update on all servers and endpoints	Keeping latest antivirus updated on all the servers	100%	Penalty shall be 0.1% of Quarterly Payment for each week of delay or part thereof in updating the antivirus.	Antivirus Monitoring Console	
		Keeping latest antivirus updated on all the endpoints	80%	Penalty shall be 0.1% of Quarterly Payment for each week or part thereof delay in updating the antivirus.	Antivirus Monitoring Console	
8	Batch processing Completion Window	CEOD, CBOD and ISOLOP need to be completed within 3 hours excluding backup during regular days. However, during Quarter end, half year end and year end, CEOD, CBOD and ISOLOP need to be completed within 5 hours excluding backup.	100%	Penalty shall be 0.05% of Quarterly Payment for each hour of delay in completing CEOD / CBOD / ISOLOP.	System logs / EMS Tool	Typically, Bank would hand-over on a daily basis before 9pm, in which case, Bidder should complete CEOD by 12pm.
9	Program Director,	No change in these resources	100%	Penalty shall be	Manual	Bidder needs to deploy the same

SN	Service Details	SLA Measurement	SLA	Penalty	Measurement tool	Remarks
	Project / Service Delivery Manager, Domain SME, and Implementation team	for minimum 1 year from the contract date and maximum 2 changes in the complete contract term (*the Program Manager should not be rotated to other clients of the Service Provider under the contract period).		0.10% of Quarterly Payment for each default beyond the agreed the threshold.		resources or resources with equivalent skill sets as per the terms and conditions of the RFP
10	Staff transition period (Handover period)	As per below mentioning staff transition period <ul style="list-style-type: none"> <li>Program Director / Manager, Project Managers and Service delivery manager- 60 Days</li> <li>All Domain In charge-45 days</li> <li>Other staff- 30 days</li> </ul>	100%	<p>Program Director – Penalty shall be INR 100,000/- for each week of default or part thereof.</p> <p>Domain In-charge / SME – Penalty shall be INR 100,000/- for each week of default or part thereof.</p> <p>Other Staff- Penalty shall be INR 10,000 for each week of default or part thereof</p>	Manual	Bidder need to submit the Handover report every month with the resource mapping to their service area

SN	Service Details	SLA Measurement	SLA	Penalty	Measurement tool	Remarks
11	Resource availability	Bidder needs to maintain the attendance in each shift as per the BOM on any day of the contract and the same should not go below 90%	No of Shifts below minimum attendance level	Penalty shall be INR 25,000 for every 2% default or part thereof below the agreed threshold	Manual	Bidder has to submit the attendance every month end for each resource with their location and Service area
12	Exit Management Plan	Bidder also has to develop a detailed Exit Plan with-in 6 months of signing of contract. After that, the exit plan has to be regularly reviewed and updated on a half yearly basis	Delay in submission of initial or updated plan by more than one month	Penalty shall be INR 25,000 for each month of delay or part thereof after the 1st month	Manual	It need to cover all the areas of Exit Plan & Reverse Transition

## 11. Project Timeline

\*\*All the below mentioned timelines are from the effective date mentioned in the PO.

### Timelines for Taking over AS – IS operation

Sl. No.	Activity	Start Month (start of)	End Month (end of)
1	On Boarding of the resources Project Initiation, Detailed Project Plan Submission and sign off	M1	M1
2	Transition	M1	M6 (or 31 <sup>st</sup> Mar 2019, whichever is earlier)
3	Benchmarking	M1	M2
4	Maintain all existing applications and infrastructure under scope of this RFP	M7 (or 1 <sup>st</sup> April 2019, whichever is earlier)	5 years (Contract Period)

## 12. Clarification to RFP & Pre-Bid

- 12.1 The Bidder should carefully examine and understand the requirements / specifications, Terms and conditions of the RFP and may seek clarifications, if required. The bidders in all such cases should seek clarification in writing in the same serial order as that of the RFP by mentioning the

relevant page number and clause number of the RFP as per format provided under Appendix-H. All communications regarding points requiring clarifications and any doubts shall be given in writing to the General Manager Bellary, Pragathi Krishna Gramin Bank, IT Department, Canara Bank RRB CBS Project Office, LIC “Jeevan Soudha” Building, First Floor, 19/19, 24th Main Road, 1st Phase, J P Nagar, Bengaluru - 560 078 and an email can be sent to [apmgroupp@pkgbank.com](mailto:apmgroupp@pkgbank.com) by the intending bidders before **5:00PM on 03.05.2018**.

- 12.2 No queries will be entertained from the bidders after the above date and time.
- 12.3 The Bank will consolidate all the written queries and any further queries during the pre-bid meeting and the replies for the queries shall be made available in the Bank's website <http://www.pragathikrishnabank.com/> and no individual correspondence shall be made. The clarification of the Bank in response to the queries raised by the Bidder/s, and any other clarification / amendments / corrigendum furnished thereof will become part and parcel of the RFP and it will be binding on the bidders.
- 12.4 No oral or individual consultation will be entertained.

### **13. Pre-Bid Meeting**

- 13.1 Bank has the discretion to consider any other queries raised by the Bidder's representative during the pre-bid meeting. Bank will have the liberty to invite its technical consultant or any outside agency, wherever necessary, to be present in the pre-bid meeting. The pre-bid meeting of the intending bidders will be held as scheduled below to clarify any point/doubt raised by them in respect of this RFP.

Date	Day	Time	Venue
05.05.2018	Saturday	3:30PM	Canara Bank Conference Hall, Second Floor, DIT Wing, Head Office, Naveen Complex, 14, M G Road, Bengaluru 560 001

No separate communication will be sent for this meeting. If the meeting date is declared as a holiday under NI Act by the Government subsequent to issuance of RFP, the next working day will be deemed to be the pre-bid meeting day. Authorized representatives of interested bidders shall be present during the scheduled time in this connection, Bank will allow maximum of Two (2) representatives from each Bidder to participate in the pre-bid meeting.

- 13.2 Reply to the technical queries of the Bidders in the meeting.
- 13.3 Non-reply to any of the queries raised by the vendors during pre-bid Meeting shall not be considered as acceptance of the query/issue by the Bank.

### **14. Amendment of Bidding Document**

- 14.1 At any time prior to deadline for submission of Bids, the Bank, for any reason, whether, at its own initiative or in response to a clarification requested by prospective Bidder, may modify the bidding document, by amendment.
- 14.2 Notification of amendments will be made available on the Bank's website (i.e. [www.pragathikrishnabank.com](http://www.pragathikrishnabank.com)) and will be binding on all bidders and no separate

communication will be issued in this regard.

- 14.3 In order to allow prospective bidders reasonable time in which to take the amendment into account in preparing their bids, the Bank, at its discretion, may extend the deadline for a reasonable period as decided by the Bank for the submission of Bids.

## **15. Bid System Offer**

This is two bid systems which have following 3 (Three) parts:

- 15.1 **Part – A –Conformity to Eligibility Criteria** - Indicating their compliance to Eligibility Criteria. The format for submission of Conformity to Eligibility Criteria is as per APPENDIX –A.
- 15.2 **Part - B - Technical Proposal**– indicating the response to the Technical specification of Servers, System Software for Virtualization. The format for submission of Technical Proposal is as per APPENDIX–B.
- 15.3 **Part - C - Commercial Bid**- furnishing all relevant information required as per Bill of Material as per ANNEXURE-20. The format for submission of Commercial bid is as per APPENDIX-C

## **16. Preparation of Bids**

1. The Bid shall be typed or written in English language with font size of 12 in indelible ink and shall be signed by the Bidder or a person or persons duly authorized to bind the Bidder to the Contract. The person or persons signing the Bids shall affix signature in all pages of the Bids, except for un-amended printed literature.
2. The three parts as stated above should be placed in three separate envelopes superscribed with 'Conformity to Eligibility Criteria', 'Technical Proposal' and 'Commercial Bid' respectively and properly closed and sealed. Thereafter, all the three envelopes shall be placed inside another envelope and properly closed and sealed. The final envelope should be superscribed as Proposal for Selection of System Integrator for Maintenance of Finacle Core Banking Solution, Allied Applications, Delivery Channels, Facilities Management and other services at Data Center, Disaster Recovery Center, Branches and Offices vide RFP Number “PKGB: CBS: RFP:01:2018-19” dated 25.04.2018 (includes separately sealed 'Conformity to Eligibility Criteria', 'Technical Proposal' and 'Commercial Bid') on the top of the envelope. All the envelopes shall bear the name and complete postal address of the Bidder as well as the addressee, namely the General Manager, Pragathi Krishna Gramin Bank, Project Office, LIC, “Jeevan Soudha”, First Floor, 19/19, 24<sup>th</sup> Main Road, J P Nagar, First Phase, Bengaluru- 560078.
3. All the pages of Bid including Brochures should be made in an organized, structured, and neat manner. Brochures / leaflets etc. should not be submitted in loose form. All the pages of the submitted bids should be paginated with Name, Seal and Signature of the Authorized Signatory. Bids with erasing / overwriting / cutting without authentication may be liable for rejection. Authorization letter for signing the Bid documents duly signed by Company's Authorized signatory should be submitted.
4. All the envelopes shall bear the name and complete postal address of the Bidder and authority to whom the Bid is submitted.

## **16.1 Part A: Conformity to Eligibility Criteria**

- 16.1.1** Before submitting the bid, the bidders should ensure that they confirm to the eligibility criteria as stated in Section 5 of RFP. Only after satisfying themselves of the eligibility, the Offer should be submitted.
- 16.1.2** The Conformity to Eligibility Criteria as per Annexure-3 among others must contain Demand Draft towards the Application Money as per the Clause 18 and EMD/ Bank Guarantee in lieu of EMD as per Appendix-E of Instructions of this document. The Conformity to Eligibility Criteria should be complete in all respects and contain all information sought for, as per Appendix-A.
- 16.1.3** The Placement of Application Money and EMD in other than Part-A Conformity to Eligibility Criteria will make the bid liable for rejection.
- 16.1.4** After ensuring the above, it shall be placed inside a separate Envelope and sealed and super scribed on the top of the cover as "PART A Conformity to Eligibility Criteria for RFP for Selection of System Integrator for Maintenance of Finacle Core Banking Solution, Allied Applications, Delivery Channels, Facilities Management and other services at Data Center, Disaster Recovery Center, Branches and Offices" vide RFP Number "PKGB: CBS: RFP:01:2018-19" dated 25.04.2018.

## **16.2 Part B: Technical Proposal**

- 16.2.1** Technical Proposal should be submitted as per the format in Appendix-B. Relevant technical details and documentation should be provided along with Technical Proposal.
- 16.2.2** It is mandatory to provide the technical details of the Solution required by the bank in the exact format of Annexure-17 of this tender.
- 16.2.3** The offer may not be evaluated and may be rejected by the Bank without any further reference in case of non-adherence to the format or partial submission of technical information as per the format given in the offer.
- 16.2.4** If any part of the technical specification offered by the Bidder is different from the specifications sought in our RFP, the Bidder has to substantiate the same in detail the reason for their quoting a different specification than what is sought for, like higher version or non-availability of the specifications quoted by us, invariably to process the technical offer.
- 16.2.5** The Bank shall not allow / permit changes in the technical specifications once it is submitted.
- 16.2.6** The relevant product information, brand, model number offered, printed product brochure, technical specification sheets etc. should be submitted along with the Offer. Failure to submit this information along with the offer may result in disqualification.
- 16.2.7** The Technical Proposal should be complete in all respects and contain all information sought for, as per Appendix-B. Masked Bill of Material must be attached in Technical Offer and should not contain any price information. The Part B-Technical Proposal should be complete and should cover all products and services. Technical Proposal without masked Bill of Materials will be liable for rejection.
- 16.2.8** Masked Commercial bid which is not as per below instruction will make Bid liable for rejection.
- 16.2.9** Masked Bill of Material Should be replica of Commercial Bid except that it should not contain any price information (with Prices masked).

16.2.10 It should not provide any price information like, unit price, tax percentage, tax amount, AMC/ ATS charges, Implementation charges etc.

16.2.11 After ensuring the above, it shall be placed inside a separate Envelope and sealed and superscribed on the top of the cover as "PART B Technical Proposal for RFP for Selection of System Integrator for Maintenance of Finacle Core Banking Solution, Allied Applications, Delivery Channels, Facilities Management and other services at Data Center, Disaster Recovery Center, Branches and Offices vide RFP Number "PKGB: CBS: RFP:01:2018-19" dated 25.04.2018.

### 16.3 Part C- Commercial Bid

16.3.1. Commercial Bid should be submitted as per the instruction in Appendix-C.

16.3.2. Commercial Bid shall be submitted as per Bill of Material and other terms and conditions of RFP on prices. The Commercial Bid should give all relevant price information as per Annexure-20. Any deviations from the Bill of Material / non- s u b m i s s i o n of prices as per the format shall make the bid liable for rejection.

16.3.3. Under no circumstances the Commercial Bid should be kept in Part-A (i.e. Conformity to Eligibility Criteria) or Part B (i.e. Technical Proposal) Covers. The placement of Commercial Bid in Part A (i.e. Conformity to Eligibility Criteria) or Part B (i.e. Technical Proposal) covers will make bid liable for rejection.

16.3.4. The Bill of Material (must be attached in Technical Proposal as well as Commercial Bid. The format will be identical for both Technical Proposal and Commercial Bid, except that the Technical Proposal should not contain any price information (with Prices masked). Any change in the Bill of Material format may render the bid liable for rejection.

16.3.5. Bidder must take care in filling price information in the Commercial Offer, to ensure that there are no typographical or arithmetic errors. All fields must be filled up correctly.

16.3.6. Any change in the Bill of Material format may render the bid liable for rejection. The Commercial Bids that are incomplete or conditional are liable to be rejected.

16.3.7. The price would be inclusive of all applicable taxes under the Indian law like customs duty, freight, forwarding, insurance, delivery, etc. but exclusive of only applicable GST, which shall be paid / reimbursed on actual basis on production of bills with GSTIN. Any increase in GST will be paid in actuals by the bank or any new tax introduced by the government will also be paid by the bank. The entire benefits / advantages, arising out of fall in prices, taxes, duties or any other reason, must be passed on to Bank. The price quoted by the Bidder should not change due to exchange rate fluctuations, inflation, market conditions, and increase in custom duty. The bank will not pay any out of pocket expense.

16.3.8. After ensuring the above, it shall be placed inside a separate Envelope and sealed and superscribed on the top of the cover as "PART C Commercial Bid for Selection of System Integrator for Maintenance of Finacle Core Banking Solution, Allied Applications, Delivery Channels, Facilities Management and other services at Data Center, Disaster Recovery Center, Branches and Offices vide RFP Number "PKGB: CBS: RFP:01:2018-19" dated 25.04.2018.

## 17. Application Money

17.1 This document can be downloaded from Bank's website <http://www.pragathikrishnabank.com/tenders.html>. In that event, the bidders should pay the Application fee of Rs. 50,000 /-(Fifty Thousand only) + GST Rs.9000/- (non-refundable) for tender

document by means of DD drawn on any scheduled Commercial Bank in favour of Pragathi Krishna Gramin Bank, payable at Ballari on or before date of submission of the Bid.

- 17.2 Appendix K contain the all infrastructure details of the Bank's which confidential, the same will be provided to the interested Bidder only after depositing the Application Money. Bidder can download the tender document other than Appendix K from the Bank's website as mentioned in clause 17.1. Bidder who does not purchase the Appendix K will be liable to reject on grounds of non-payment of the Application Money.
- 17.3 If Bidder wants to submit the Application Money with bid, then submission of the Application Money in other than "Part-A-Conformity to the Eligibility Criteria" is liable to be rejected on grounds of non-payment of the Application Money.
- 17.4 The Bidder shall bear all costs associated with the preparation and submission of the Bid and Bank will not be responsible for the costs, regardless of the conduct or outcome of the bidding process. The Bank is not liable for any cost incurred by the Bidder in replying to this RFP. It is also clarified that no binding relationship will exist between any of the respondents and the Bank until the execution of the contract.

## **18. Earnest Money Deposit (EMD)/ Bank Guarantee in lieu of EMD**

- 18.1 The Bidder shall furnish Non-interest earning Earnest Money Deposit (EMD) of Rs.1,50,00,000/- (Rupees One Crore Fifty Lakhs Only) by way of Demand Draft drawn on any scheduled bank in favour of Pragathi Krishna Gramin Bank, payable at BALLARI and should be kept along with the Part – A – Conformity to Eligibility Criteria.
- 18.2 In case the EMD is submitted in the form of Bank Guarantee the same should be valid **for minimum period of 180 days** from the last date for submission of offer. The format for submission of EMD in the form of Bank Guarantee is as per **APPENDIX-E**.
- 18.3 Submission of EMD in other than Eligibility Criteria Envelope-I is liable to be rejected on grounds of non-submission of EMD.
- 18.4 The EMD of the Bidders not qualified under evaluation of Part – A – Conformity to eligibility Criteria will be returned within 30 days after opening the Part – B - Technical Proposals. The EMD of the Bidders not qualified under Technical Proposal will be returned within 30 days after opening of the commercial bid of the technically qualified bidders / conducting Reverse Auction. The EMD of other bidders will be returned upon the selected Bidder accepting the order/LOI and furnishing the Performance Bank Guarantee.
- 18.5 The EMD may be forfeited/ Bank Guarantee may be invoked:
- 18.5.1 If the Bidder withdraws or amends the bid during the period of bid validity specified in this document.
- 18.5.2 If the Bidder/s fails to participate and quote price in Online Reverse Auction or fails to Login in Reverse Auction.
- 18.5.3 If the selected Bidder fails to accept the purchase order within 7 working days or fails to sign the contract or fails to furnish performance guarantee in accordance with the terms of the RFP.

## **19. Make and Models**

It is mandatory to provide make & model of all the items and their subcomponents as has been sought in the technical specification. The Offer may not be evaluated and / or will be liable for rejection in case of non-submission or partial submission of make, model of the items offered. Please note that

substituting required information by just brand name is not enough. Bidder should not quote hardware/Software which is already End of Sale. Bidder should not quote Hardware / Software which are impending End of Sale in one year from the date of submission of Bid items which are impending End of Life/End of Support during the warranty & AMC period.

## **20. Software Version**

The Bidder should ensure usage of latest licensed software with proper update/patches and their subcomponents as has been sought in the technical/functional requirements. The Offer may not be evaluated and / or will be liable for rejection in case of non- submission or partial submission of Software Version of the items offered. Please note that substituting required information by just software name is not enough. Bidder should not quote software items which are impending End of Life/End of Support.

## **21. Documentation**

Technical information in the form of Brochures / Manuals / CD etc., of the most current and updated version available in English must be submitted in support of the Technical Bid made, without any additional charges to the Bank. The Bank is at liberty to reproduce all the documents and printed material produced by the Bidder in relation to the RFP for its own use.

## **22. Costs & Currency**

The Offer must be made in Indian Rupees only as per Bill of Material (ANNEXURE-20)

## **23. Erasures or Alterations**

The Offers containing erasures or alterations, or overwriting will not be considered. There should be no hand-written material, corrections or alterations or overwriting in the offer. Technical details must be completely filled in. Correct technical information of the product being offered must be filled in. Filling up of the information using terms such as "OK", "accepted", "noted", "as given in brochure/manual" is not acceptable. The Bank may treat such Offers as not adhering to the tender guidelines and as unacceptable.

## **24. Assumptions/ Presumptions/ Modifications**

The Bank would like to expressly state that any assumption, presumptions, modifications, terms, conditions, deviation etc., which the Bidder includes in any part of the Bidder's response to this RFP, will not be taken into account either for the purpose of evaluation or at a later stage, unless such assumptions, presumptions, modifications, terms, conditions deviations etc., have been accepted by the Bank and communicated to the Bidder in writing. The Bidder at a later date cannot make any plea of having specified any assumption, terms, conditions, deviation etc., in the Bidder's response to this RFP. No offer can be modified or withdrawn by a Bidder after submission of Bid/s.

## **25. Submission of Bids**

- 25.1 The name and address of the Bidder, RFP No. and Due Date of the RFP are to be specifically mentioned on the Top of the envelope containing Bid.

- 25.2 The bid/s properly super scribed in the manner prescribed in earlier clauses of this RFP should be deposited in the Tender Box kept at the Place, Venue, Date and Time mentioned below: -

<b>Last Date of Submission of Bid</b>	<b>Day</b>	<b>Time</b>	<b>Venue</b>
<b>19.05.2018</b>	Saturday	3:00PM	Canara Bank RRB, CBS Project office, LIC “Jeevan Soudha” Building, First Floor, 19/19, 24 <sup>th</sup> Main Road, 1 <sup>st</sup> Phase, J P Nagar, Bengaluru- 560078

- 25.3 If last day of submission of bids is declared a holiday under NI Act by the Government subsequent to issuance of RFP the next working day will be deemed to be the last day for submission of the RFP. The Bid/s which is/are deposited after the said date and time shall not be considered.
- 25.4 Bids sent through post/courier will not be accepted/ evaluated. Bids should be submitted in the tender Box.
- 25.5 If the envelopes containing bid documents, including the outer envelope is not sealed and marked in the prescribed manner, the Bank will assume no responsibility for the bid’s misplacement or premature opening.
- 25.6 The following officials will facilitate in bid related queries and make arrangements for deposit of bid documents:

<b>First Official</b>	<b>Alternate Official</b>
<b>Mr. Vinay Kumar BM</b> Manager, Pragathi Krishna Gramin Bank, LIC “Jeevan Soudha” Building, 1 <sup>st</sup> Phase, J P Nagar, Bengaluru -560 078 Tel : 080-26087539	<b>Mr. Ajithnath,</b> Senior Manager (IT), Pragathi Krishna Gramin Bank, LIC “Jeevan Soudha” Building, 1 <sup>st</sup> Phase, J P Nagar, Bengaluru -560 078 Tel :080-26087523

- 25.7 In case bid documents are too bulky to be placed inside the tender box, arrangements will be made by the above-mentioned officials to receive the Bids. However, Bidder should reach the venue before the date and time stipulated above.

## **26. Bid Opening**

- 26.1 The Part A- Conformity to Eligibility Criteria shall be opened in the presence of the Bidder’s representative/s who may choose to attend the bid opening as per following schedule:

<b>Date</b>	<b>Day</b>	<b>Time</b>	<b>Venue</b>
<b>19.05.2018</b>	Saturday	3:30PM	Canara Bank RRB, CBS Project office, LIC “Jeevan Soudha” Building, First Floor, 19/19, 24 <sup>th</sup> Main Road, 1 <sup>st</sup> Phase, J P Nagar, Bengaluru- 560078

Bidder's representative may be present in the venue well in time along with an authorization letter, as per the format attached (Annexure-6)

**Note: Authorization letter should be carried in person and shall not be placed inside in any of the bid covers.**

26.2 Attendance of all the representatives of the bidders who are present at bid opening will be taken in a register against Name, Name of the company and with full signature.

26.3 The bidders may note that no further notice will be given in this regard. Further, in case the bank does not function on the aforesaid date due to unforeseen circumstances or holiday if declared under NI Act then the bid will be accepted up to 3.00 PM on the next working day and bids will be opened at 3:30 PM at the same venue on the same day.

26.4 The following details will be announced at the time of bid opening:

- Bidders name
- Presence or absence of cost of the bidding document and bid security (In case of Technical Bid opening)
- Any other detail that the Bank at its discretion may consider appropriate.

26.5 If any of the bidders or all bidders who submitted the tender are not present during the specified date and time of opening it will be deemed that such Bidder is not interested to participate in the opening of the Bid/s and the bank at its discretion will proceed further with opening of the Part A -Conformity to Eligibility Criteria in their absence.

26.6 The Part A- **Conformity to Eligibility Criteria** submitted by the Bidder will be evaluated based on the eligibility criteria stipulated. The Part B-Technical Proposal of only those bidders who qualified in **Part A- Conformity to Eligibility Criteria** will be opened with due communication by the Bank.

26.7 The Technical Bid of only those bidders who qualified in **Part A- Conformity to Eligibility Criteria** will be evaluated.

## **27. Preliminary Security**

The Bank will scrutinize the Bid/s received to determine whether they are complete in all respects as per the requirement of RFP, whether the documents have been properly signed and whether items are offered as per RFP requirements, whether technical documentation as required to evaluate the offer has been submitted.

Prior to detailed evaluation, the Bank will determine the substantial responsiveness of each Bid to the bidding document. Substantial responsiveness means that the bid conforms to all terms and conditions of the Eligibility Criteria and bidding document is submitted without any material deviations.

## **28. Clarification of Offers**

During the process of scrutiny, evaluation and comparison of offers, the Bank may, at its discretion, seek clarifications from all the bidders/any of the bidders on the offer made by them. The Bidder has to respond to the bank and submit the relevant proof /supporting documents required against clarifications, if applicable. The request for such clarifications and the Bidders response will necessarily be in writing and it should be submitted within the time frame stipulated by the Bank.

The Bank may, at its discretion, waive any minor non-conformity or any minor irregularity in the offer. This waiver shall be binding on all the bidders and the Bank reserves the right for such waivers.

## **29. Evaluation of Bids**

### **29.1 Objective of the Evaluation Process**

The objective of the evaluation process is to evaluate the bids to select an effective and best fit solution at a competitive price. The evaluation by Bank will be undertaken by an internal committee formed by Bank. Bank may consider recommendations made by external experts / consultants on the evaluation. The decision of the committee shall be final.

**The evaluation will be a three-phase process:**

- Phase 1 – Eligibility Criteria Evaluation
- Phase 2 – Technical Proposal Evaluation
- Phase 3 – Commercial Bid Evaluation

Bank will use a scoring mechanism defined in the RFP to score each of the RFP responses with appropriate apportionment of scores. The Bidders who qualify the eligibility and technical evaluation criteria shall be considered for Commercial evaluation and the successful Bidder will be determined based on the Lowest Commercial Quote (L1) post reverse auction

Bank will scrutinize the offers to determine whether they are complete, whether any errors have been made in the offer, whether required technical documentation has been furnished, whether the documents have been properly signed, and whether items are quoted as per the required format.

Bank may call for any clarifications / additional particulars required, if any, on the technical / commercial bids submitted. The Bidder has to submit the clarifications / additional particulars in writing within the specified date and time. The Bidder's offer may be disqualified, if the clarifications / additional particulars sought are not submitted within the specified date and time.

Bank reserves the right to call for presentation/s, service model, on the features of the solution offered etc., from the bidders based on the technical bids submitted by them. Based upon the final technical scoring, short listing would be made of the eligible bidders for final commercial evaluation.

### **29.2 Evaluation Process**

Initially only the Eligibility bid will be opened and evaluated. The eligibility bids will be evaluated, and bidders qualify the eligibility criteria will be considered for technical bid evaluation. The Technical Bid of only those bidders who qualified in **Part A- Conformity to Eligibility Criteria will be evaluated**

Thereafter, the technical bids will be evaluated, and a technical score would be arrived at.

In second stage, only those bidders, who have qualified in the technical evaluation, shall be invited for commercial bid opening. The evaluation methodology is as under:

#### **29.2.1 Preliminary Examination of Offers**

The Bank will scrutinize the offers to determine their completeness (including signatures from the relevant personnel), errors, commissions in the technical & commercial offers of respective bidders.

The Bank plans to, at its sole discretion; waive any minor non-conformity or any minor deficiency in an offer. The Bank reserves the right for such waivers and the Bank's decision in the matter will be final.

#### 29.2.2 Eligibility Bid Evaluation

Bank shall scrutinize the Eligibility bids submitted by the Bidder. A thorough examination of supporting documents to meet each Eligibility Criteria (section 5) shall be conducted to determine the eligible bidders. Bidders not complying with the eligibility criteria are liable to be rejected and shall not be considered for Technical Evaluation.

The bidders complying with the eligibility criteria (mentioned in section 5) in entirety shall be considered for technical evaluation.

#### 29.2.3 Technical Bid Evaluation

The Technical Proposals of only those bidders shall be evaluated who have satisfied the eligibility criteria as per the terms and conditions of the RFP.

Bank may seek clarifications from any or each Bidder as a part of technical or eligibility evaluation. All clarifications received within stipulated time shall be considered for evaluation. In case a clarification is not received within the stipulated time, the respective technical or eligibility parameter would be treated as non-compliant and decision to qualify or otherwise the matter shall be accordingly taken by the Bidder.

The proposal submitted by the bidders shall, therefore, be evaluated on the following criteria:

Parameter	Percentage weightage	Maximum Marks	Minimum Passing %	Minimum Passing Marks
<b>Bidder Credential Strengths</b>	40%	400	80%	320
<b>Manpower Credentials (Quality of manpower proposed)</b>	40%	400	80%	320
<b>Bidder Technical Presentation (Overall Solution Presentations)</b>	10%	100	80%	80
<b>Site Visits</b>	10%	100	80%	80
<b>Total</b>	<b>100%</b>	<b>1000</b>	<b>80%</b>	<b>800</b>

The evaluation/selection process will involve assessment of technical competence and commercial advantage as detailed here below.

- i. A maximum of 1000 marks will be allocated for the technical bid.
- ii. The evaluation of functional and technical capabilities of the bidders of this RFP will be completed first as per the following guidelines. The technical proposals only will be subjected for evaluation at this stage.

The bidders scoring **less than 80% marks** (cut-off score) out of 1000 marks in the technical evaluation shall not be considered for further selection process and their offers will be dropped at this stage. The evaluation Parameters, bidders should score a minimum as mentioned in the above table. Bidder fulfilling the parameters stated above shall be considered as technically qualified. Once the evaluation of technical proposals is completed, the bidders who score more than the prescribed cut-off score will be shortlisted for further tender process.

In case none of the participating bidders qualify on technical criteria by reaching or exceeding the cut off score of 80%, then the bank, at its sole discretion, may relax the cut-off score to a lower value, which, in

any case, shall not fall below 75%. In case at least two participants have not scored 75%, then the Bank reserves the right to cancel and go for retendering process. However, this would be at the sole discretion of the Bank.

The evaluation of technical proposals, among other things, will be based on the following:

Sl. No.	Technical Evaluation	Evaluation Approach
1	Bidder's Credential Strengths (Max Marks 400)	<p>1) The Bidder should have managed/supported Finacle Core Banking solution in at least 1(one) scheduled Commercial Bank with minimum 200 branches in India- <b>320 Marks</b></p> <p>2) The Bidder should have managed/supported Finacle Core Banking solution in at least 2(Two) scheduled Commercial Bank with minimum 200 branches in India – <b>50 Marks</b></p> <p>3) The Bidder should have managed/supported Finacle Core Banking solution in at more than 2 (Two) scheduled Commercial Bank with minimum 200 branches in India – <b>30 Marks</b></p>
2	Manpower Credentials (Quality of manpower proposed) (Max Marks 400)	<p><b>1). Experience of Program Director:-</b> Should have more than 15 years of relevant experience as Program Manager and should have experience of Program Managing Implementation and Operations of Finacle implementation in one or more scheduled commercial bank in India having more than 1000 branches – <b>(100 Marks)</b></p> <p><b>2). Experience of Project Manager (Application):-</b> Should have more than 10 years of relevant experience as Program Manager and should have experience of Program Managing Implementation and Operations of Finacle implementation in one or more scheduled commercial bank in India having more than 1000 branches – <b>(100 Marks)</b></p> <p><b>3). Experience of Project Manager (Infrastructure):-</b> Should have more than 10 years of relevant experience as Program Manager and should have experience of Program Managing Implementation and Operations of Storage, Network, Server, Middleware, Backup solution in one or more scheduled commercial bank in India having more than 1000 branches – <b>(100 Marks)</b></p> <p><b>4) Experience of the Module Lead:-</b> Should have &gt;8 years of relevant experience in the respective Module and should have worked as a Functional lead for Finacle Core banking Solution in at least two scheduled Bank in India having more than 1000 branches <b>(100 marks).</b></p>

Sl. No.	Technical Evaluation	Evaluation Approach
3	Bidder Technical Presentation (Overall Solution Presentations <b>Max Marks 100</b> )	<ul style="list-style-type: none"> <li>• Understanding of Bank's business and Operating environment <b>(10 Marks)</b></li> <li>• Demonstration of organization capability for the proposed initiative <b>(10 Marks)</b></li> <li>• Service Model demonstration <b>(15 Marks)</b></li> <li>• Demonstration of value proposition offered in the bid which shall enable the success of the project. <b>(10 Marks)</b></li> <li>• Project timelines <b>(10 Marks)</b></li> <li>• Bidder's and OEM's experience <b>(10 Marks)</b></li> <li>• Demonstration of at least two accelerators or value addition for the proposed solution that brings in distinct solution advantage or implementation time or savings in efforts <b>(10 Marks)</b></li> <li>• Bidder experience of upgrading Oracle 11gR2 to Oracle 12C on Finacle 7.0.18 <b>(25 Marks)</b></li> </ul>
4	Site Visit <b>(Max Marks 100)</b>	A Committee of people from Bank would carry out Reference Site Visits with the existing customers of the Bidder. The vendor should arrange the site visits where the solution is implemented. The inputs that have been received from the Customer would be considered by Bank and this might not need any documentary evidence. This rating would be purely on the inputs provided by the Bidder's customers. <b>(Maximum 100 marks)</b>

At the sole discretion and determination of the Bank, the Bank may add any other relevant criteria for evaluating the proposals received in response to this RFP.

Bank may, at its sole discretion, decide to seek more information from the respondents in order to normalize the bids. However, respondents will be notified separately, if such normalization exercise as part of the technical evaluation is resorted to.

#### 29.2.4 Commercial Bid Evaluation

Commercial bid of only those Bidders shall be opened who have been Technically Qualified on the basis of Technical Proposal.

Bank will select the lowest commercial bid through Online Reverse Auction Process. The Bank will notify the date and time for participating in the Online Reverse Auction process to the technically qualified Bidders.

The Bidder with the lowest commercial Bid after the successful completion of the online reverse Auction process will be declared Successful L1 Bidder shall be considered for award of Contract.

#### Commercial Bid Valuation shall be considered as below in case of any discrepancy:

1. If there is a discrepancy between words and figures, the amount in words shall prevail.
2. If there is a discrepancy between percentage and amount, the amount calculated as per the stipulated percentage basis shall prevail.
3. Where there is a discrepancy between the unit rate and the line item total resulting from multiplying the unit rate by the quantity, the unit rate will govern unless, in the opinion of bank, there is an obvious error such as a misplacement of a decimal point, in which case the line item total will prevail.
4. Where there is a discrepancy between the amount mentioned in the bid and the line item total present in

- the schedule of prices, the amount obtained on totaling the line items in the Bill of Materials will prevail.
5. The amount stated in the correction form, adjusted in accordance with the above procedure, shall be considered as binding, unless it causes the overall price to rise, in which case the bid price shall prevail.
  6. If there is a discrepancy in the total, the correct total shall be arrived at by bank.
  7. In case the Bidder does not accept the correction of the errors as stated above, the bid shall be rejected.
  8. At the sole discretion and determination of the bank, the bank may add any other relevant criteria for evaluating the proposals received in response to this RFP.
  9. Bank may, at its sole discretion, decide to seek more information from the respondents in order to normalize the bids. However, respondents will be notified separately, if such normalization exercise as part of the technical evaluation is resorted to.
  10. All liability related to non-compliance of this minimum wages requirement and any other law will be the responsibility of the Bidder.
  11. The highest technical Bidder shall not automatically qualify for becoming selected Bidder and for award of contract by the bank.
  12. The bank shall not incur any liability to the affected Bidder on account of such rejection.
  13. The Bidder whose technical and commercial bid is accepted will be referred to as "Selected Bidder" and the bank will notify the same to the selected Bidder.
  14. The selected Bidder shall provide revised TCO and the revised break-up of the cost items post reverse auction.
  15. The final decision on the successful Bidder will be taken by the bank. The implementation of the project will commence upon signing of a contract between the Bank and the selected Bidder based on the evaluation.
  16. If for some reason, the successful Bidder fails to execute the agreement within a specified timeline, the bank reserves the right to award the contract to the next most eligible Bidder based on the evaluation scores and commercial prices quoted during Online Reverse Auction.

### **30. Normalization of Bids**

- 30.1. The Bank may go through a process of technical evaluation and normalization of the bids to the extent possible and feasible to ensure that, shortlisted bidders are more or less on the same technical ground. After the normalization process, if the Bank feels that, any of the Bids needs to be normalized and that such normalization has a bearing on the price bids; the Bank may at its discretion ask all the technically shortlisted bidders to re-submit the technical and commercial bids once again for scrutiny. The resubmissions can be requested by the Bank in the following manner: -

30.1.1. Incremental bid submission in part of the requested clarification by the Bank

**Or**

30.1.2. Revised submissions of the entire bid in the whole

- 30.2. The Bank can repeat this normalization process at every stage of bid submission till Bank is satisfied. The shortlisted bidders agree that, they have no reservation or objection to the normalization process and all the technically shortlisted bidders will, by responding to this RFP, agree to participate in the normalization process and extend their co-operation to the Bank during this process.
- 30.3. The shortlisted bidders, by submitting the response to this RFP, agree to the process and conditions of the normalization process.

### **31. Intimation to Qualified/ Successful Bidders**

The Bank will prepare a list of technically qualified bidders on the basis of evaluation of Part – B Technical Proposal and the names of qualified bidders would be announced on Bank's website ([www.pragathikrishnabank.com](http://www.pragathikrishnabank.com)) / Notice Board. Only qualified bidders shall participate in the Reverse Auction. After the entire completion of selection process, final list of the bidders (L1, L2, L3 etc.) will be announced as indicated above. No separate intimation will be sent to successful Bidder.

### **32. Correction of Error in Commercial Bid**

Bank reserves the right to correct any arithmetical errors furnished in the Commercial Bid. If any such errors are noticed it will be rectified on the following basis: -

- 32.1 Bank may waive off any minor infirmity or non – conformity or irregularity in a bid, which does not constitute a material deviation.
- 32.2 If there is discrepancy between the unit price and total price (which is obtained by multiplying the unit price by the quantity), the unit price shall prevail, and the total price shall be corrected accordingly.
- 32.3 If there is discrepancy between percentage and amount, the amount calculated on percentage basis will prevail.
- 32.4 If there is discrepancy in the total arrived at Bill of Material (addition, subtraction, multiplication, division and carryover of amount from one page to another), correct total will be arrived by the Bank and same will prevail over the total furnished in the Bill of Material.
- 32.5 If there is a discrepancy between words and figures, the rate/ amount in words shall prevail, unless the amount expressed in words is related to an arithmetical error in which case, the amount in figures will prevail, subject to the above two provisions.
- 32.6 If the Bidder does not accept the correction of errors, the bid will be rejected.
- 32.7 Determination of L1 Price:
- 32.8 L1 Price will be determined after giving effect to arithmetical correction, if any.
  - The L-1 Bidder will be determined on the basis of the lowest price quoted in the reverse Auction. The Reverse Auction would be conducted for total cost of ownership given in Bill of material (indicative) as per Annexure -20 of RFP or in a manner described in Brief Business Rules and terms & Conditions of reverse Auction are detailed in Appendix – J
  - However, the Bank does not bind itself to accept the lowest or any Bid and reserves the right to reject any or all bids at any point of time prior to the order without assigning any reasons whatsoever.
  - The bank reserves the right to re-tender without assigning any reasons whatsoever. The bank shall not incur any liability to the affected Bidder(s) on account of such rejection. Bank

shall not be obliged to inform the affected Bidder(s) of the grounds for the Bank's rejection.

- The Bank reserves the right to modify any terms, conditions and specifications of the RFP and Bank reserves the right to obtain revised price bids from the bidders with regard to change in RFP clauses. The Bank reserves the right to accept any bid in whole or in part.

### **33. Online Reverse Auction**

- 33.1 Bidders, who's Commercial Bids (Indicative) has been opened by the Bank will be called for the Reverse Auction.
- 33.2 Reverse Auction event will be carried out among the technically qualified Bidders, based on evaluation of Part B-Technical Proposal, for providing opportunity to the Bidders to quote the price dynamically for the procurement for which RFP is floated and also to get the most competitive price.
- 33.3 For finalization of the most competitive offer, the Bank will conduct "Reverse auction" The detailed procedure and Business rules for the Reverse auction is given as per Appendix-I.
- 33.4 Bank will call the technically qualified bidders whose Commercial Bids have been opened by the Bank for participating in the Reverse auction process which will be conducted by an Auction Agency authorized by the Bank. Specific rules for this particular event viz. date and time, CAP price, bid decrement value, duration of event etc. shall be informed by the Auction Agency to the participating bidders before the event. The bidders should furnish indicative prices for the project in their Indicative Commercial Bid to facilitate finalizing the start bid for "Reverse auction". However, the CAP price for Reverse auction will be fixed by the Bank.
- 33.5 Bidders should note that the indicative commercial bid is considered for the purpose of conducting Reverse auction process only. The L-1 Bidder will be decided only later, on finalization of prices through Reverse auction.
- 33.6 The L-1 Bidder emerging at the end of the Reverse Auction process shall be required to submit the break-up of their Final price (last bid price) again as per Annexure-20. Failure or refusal to offer the services/goods at the price committed through Reverse Auction shall result in forfeit of the EMD with the Bank, which may please be noted.

#### **33.1 Re-Auction/s Rules**

33.1.1 Bank may consider the option of a Re-Auction/s in following circumstances:

- At the end of the Reverse Auction, L1 price is not acceptable to the Bank.
- During the process of reverse auction, if there is no bids from logged in bidders, Bank may decide a re-auction by increasing the CAP price for Re-auction.
- At the end of the Reverse Auction If only one Bidder puts up bid/s, Bank at its discretion may decide a re-auction.

33.1.2 Even after conducting Reverse Auction/s, if no Bidder has quoted or the prices quoted by them are not acceptable to the Bank, Bank at its discretion can ask all the technically qualified Bidders to submit the Closed Commercial Bid by giving sufficient time to the Bidders. If Bidder/s are not

submitting the Commercial Bid in due date and Time, their EMD will liable to be forfeited. If the EMD is submitted by the way of BG, Bank can its discretion invoke the Bank Guarantee.

33.1.3 If at the end of the Reverse Auction /s only one Bidder Submits their Bid, Bank reserves the right to place the entire order on L1 Bidder only

33.1.4 Bank reserves the right to reject any or all proposals. Similarly, it reserves the right not to include any Bidder in the final short-list.

33.1.5 The Bank reserves the right to modify any terms, conditions and specifications of the RFP and Bank reserves the right to obtain revised price bids from the bidders with regard to change in RFP clauses. The Bank reserves the right to accept any bid in whole or in part.

#### **34. Bid Validity Period**

The Offer submitted, and the prices quoted therein shall be valid for 180 days from the last date for submission of the offer (BID). Bid valid for any shorter period shall be rejected by the Bank. However, bank ask the Bidder to extend the bid validity at its own sole discretion, all the prices and offer submitted will be valid for the extended per

#### **35. Proposal Ownership**

The proposal and all supporting documentation submitted by the Bidder shall become the property of the Bank. As the Bidder's proposal is central to the evaluation and selection process, it is important that, the Bidder carefully prepares the proposal as per the prescribed format only. Under no circumstance, the format can be changed, altered or modified. Bidders must provide categorical and factual replies to specific questions. Bidders may provide additional technical literature relating to their proposal but in a separate Annexure. Correct and current technical details must be completely filled in. The Appendices/Annexure to this RFP shall form integral part of the RFP.

#### **36. Project Ownership**

36.1 If the Bidder is offering solutions / products from other bidders / principals, as required in this RFP, they shall detail the responsibilities of the parties involved and submit a letter of undertaking from the parties mentioning their consent and assurance for satisfactory performance of the project. The Bidder must specify all relationships with third parties in respect of the ownership and also maintenance & support of all hardware and software which are relevant to this RFP.

36.2 Ownership letter by the Bidder to be submitted (Undertaking letter by the Bidder taking the ownership of the project execution in case third party also involved in project execution either fully or partially. The Bidder shall also submit the ownership certificate issued by the third party clearly mentioning the extent of ownership).

#### **37. Acceptance of Offer**

37.1 The Bank reserves its right to reject any or all the offers without assigning any reason thereof whatsoever.

37.2 The Bank will not be obliged to meet and have discussions with any Bidder and/ or to entertain any representations in this regard.

37.3 The bids received and accepted will be evaluated by the Bank to ascertain the best and lowest bid

in the interest of the Bank. However, the Bank does not bind itself to accept the lowest or any Bid and reserves the right to reject any or all bids at any point of time prior to the order without assigning any reasons whatsoever. The bank reserves the right to re-tender the RFP with or without modifications. Bank shall not be obliged to inform the affected Bidder(s) of the grounds for the Bank's rejection.

- 37.4 The Bidder including those, whose tender is not accepted shall not be entitled to claim any costs, charges, damages and expenses of and incidental to or incurred by him through or in connection with his submission of tenders, even though the Bank may elect to modify/withdraw the tender.

### **38. Award of Contract**

- 38.1 The Bidder whose Commercial bid is accepted by the Bank will be referred to as the selected Bidder and Bank will notify the name of the selected Bidder by display in the Notice Board of the Bank / email Or letter to the Bidder.
- 38.2 The contract shall, be awarded and the order shall be placed on selected L1 Bidder.
- 38.3 The selected Bidder shall submit the acceptance of the order within seven days from the date of receipt of the order. No conditional or qualified acceptance shall be permitted. The effective date for start of provisional contract with the Selected Bidder shall be the date of acceptance of the order by the Bidder.
- 38.4 The Bank reserves the right to consider the late acceptance of the order, if any, at its discretion.
- 38.5 Bank reserves its right to consider at its sole discretion the late acceptance of the order by selected Bidder.

## **TERMS AND STIPULATIONS**

### **39. Effective Date**

The effective date shall be the date mentioned in the PO from when Bidder needs to start the transition of the existing setup.

However, the Bidder shall submit the acceptance of the order within seven days from the date of receipt of Purchase order. The Bank reserves the right to consider the late acceptance of the order, if any, at its discretion.

### **40. Project Execution**

- 40.1 The Bank and the selected Bidder shall nominate a Project Manager each immediately on acceptance of the order, who shall be the Single Point of Contact for the project at Bengaluru. However, for escalation purpose, details of other persons shall also be given.
- 40.2 Bidder has to factor a dedicated onsite project manager for contract duration.

### **41. Security Deposit/ Performance Bank Guarantee**

- 41.1 The successful Bidder should submit a Security Deposit / Performance Guarantee for 10% value of the contract within 21 Working days from the date of receipt of the order.
- 41.2 If the Security Deposit / Performance Guarantee is not submitted within the date stipulated above, penalty at 0.50% per week on the cost of the order will be deducted from the delivery payment for the delay in submission of Bank Guarantee. The total penalty under this clause shall be restricted to 5% of the total order value.

- 41.3 Security Deposit should be submitted by way of DD drawn on Pragathi Krishna Gramin Bank payable at **Ballari**/Bank Guarantee may be obtained from any of the Scheduled commercial Banks. However, it should be as per the Bank's format. (Appendix D)
- 41.4 Security deposit shall be retained till completion of Contract Period. Similarly bank guarantee should be valid/ extended till completion of Contract period. The guarantee / deposit should also contain a claim period of Six months from the last date of validity.
- 41.5 The selected Bidder shall be responsible for extending the validity date and claim period of the Bank guarantees as and when it is due, on account of incompleteness of the project and warranty period.
- 41.6 The security deposit / bank guarantee will be returned to the vendor on completion of Contract period of Five years.
- The Bank shall invoke the Bank guarantee before the expiry of validity, if work is not completed and the guarantee is not extended, or if the selected Bidder fails to complete his obligations under the contract. The Bank shall notify the selected Bidder in writing before invoking the Bank guarantee.

## **42. Execution of Agreement**

- 42.1 Within 30 days from the date of acceptance of the Order, the selected Bidder shall sign a stamped "Agreement" with the Bank at Bengaluru as per the format to be provided by the Bank. Failure to execute the Agreement makes the EMD liable for forfeiture at the discretion of the Bank and also rejection of the selected Bidder.
- 42.2 The Agreement shall include all terms, conditions and specifications of RFP and also the Bill of Material and Price, as agreed finally after Bid evaluation and negotiation. The Agreement shall be executed in English language in one original, the Bank receiving the duly signed Original and the selected Bidder receiving the photocopy. The Agreement shall be valid till all contractual obligations are fulfilled.

## **43. Delivery, Installation and Maintenance**

- 43.1 The successful Bidder should provide maintenance and support for all the hardware installed / implemented at the DC/DR/NDR/Branches, Head Offices, Regional Offices and Project Office within a week from the date of delivery of the hardware.\

## **44. Liquidated Damages**

Liquidated Damages represent an estimate of the loss or damage that the Bank may have suffered due to a failure on the Bidder's part to meet the expected levels of performance (schedule, quality or other aspects of performance) of the obligations (relating to delivery, installation, operationalization, implementation, customization, training, acceptance, warranty, application / infrastructure management services etc. of the proposed solution/services).

In this RFP, LD and associated Caps that will be applicable, based on the scope covered under this RFP are given below. Please note that LD will be applicable separately for each of the below categories.

**1. System Uptime and Support Services (where relevant) –**

Liquidated Damages applicable for failure to comply with System Uptime related Service Levels are as defined under Section 10.3 (Uptime Rules and LD for Uptime).

Cap on overall LD per annum for Uptime related SLAs – Limited to amount not exceeding 10% of the overall project cost per annum.

**2. Management, Governance and Reporting related services**

Liquidated Damages applicable for failure to comply with Management, Governance and Reporting related services are as defined under Section 10.4 (SLA for Management, Governance and Reporting).

Cap on overall LD for Management, Governance and Reporting related services –

- The overall cap on Management, Governance and Reporting (excluding Transition and Project Initiation) SLA shall be 10% of the estimated quarterly pay-out of the respective quarter.
- The one-time penalty for Project Initiation and Transition closure shall not be subject to the limit specified above

**3. Other Services (Installation / Implementation / Upgrade Services) delivered by the Bidder –** The Bank will consider the inability of the Bidder to deliver services or install the equipment within the specified time limit as a breach of contract and would entail the payment of Liquidated Damages on the part of the Bidder.

The delivery of the above services will be treated as incomplete in one/all of the following situations:

- a. Non-delivery of any component or other services mentioned in the order.
- b. Non-delivery of supporting documentation.
- c. Delivery/ availability, but no installation of the components and/or software.
- d. No integration.
- e. No Implementation
- f. System operational, but not meeting RFP requirements
- g. Delay in delivery of agreed services beyond the timeline specified in the RFP or committed by the Bidder during the period of the contract

In any of the above scenarios, Bank may at its option demand and recover from the Successful Bidder(s) an amount equivalent to 1 (one) percent of the incomplete / undelivered portion of the services for every week of delay or part thereof, subject to 5% of the overall contract value during warranty period and 10% of the overall contract value during AMC and ATS period.

It must be noted that LD cap will be applicable separately to the above categories (1, 2 or 3). Once the maximum is reached for any one of the categories or together as a whole, the Bank may consider termination of the contract.

Further, the Bank also reserves the right to cancel the order and invoke the Bank Guarantee / Performance Guarantees after giving a notice period of 1 month in case of inordinate delays or unacceptable quality by the Bidder in the delivery of services or installation of the equipment as the case may be.

Bank may foreclose the bank guarantee without any notice. In the event of Bank agreeing to

extend the date of delivery at the request of Successful Bidder(s), it is a condition precedent that the validity of Bank guarantee shall be extended by further period as required by Bank before the expiry of the original bank guarantee. Failure to do so will be treated as breach of contract. In case of such an event, Bank, however, reserves its right to foreclose the bank guarantee.

- 44.1 The liquidated damages shall be deducted / recovered by the Bank from any money due or becoming due to the Bidder under this purchase contract or may be recovered by invoking of Bank Guarantees or otherwise from Bidder or from any other amount payable to the Bidder in respect of other Orders levying liquidated damages without prejudice to the Bank's right to levy any other penalty where provided for under the contract.
- 44.2 All the above LDs are independent of each other and are applicable separately and concurrently.
- 44.3 LD is not applicable for the reasons attributable to the Bank and Force Majeure.

#### **45. Pricing and Payments**

- 45.1 The Price offered to the Bank must be in Indian Rupees, and inclusive of Duties/Insurance/Freight but Exclusive of all GST. The Vendor has to quote the applicable taxes separately.
- 45.2 The item value along with GST should be claimed in the invoice, location wise and GST will be paid in actual at our end. However please note that taxes will be paid to the maximum of taxes indicated in the Bill of Material. Octroi / Entry Tax, if applicable, will also be paid / reimbursed at our end centrally on production of original payment receipt from the respective location where the items were delivered.
- 45.3 No escalation in price quoted is permitted for any reason whatsoever. Prices quoted must be firm till the completion of the offer validity period.
- 45.4 From the date of placing the order till the delivery of the systems, if any changes are brought in the duties such as excise/customs etc., by the Government, resulting in reduction of the cost of the systems, the benefit arising out of such reduction shall be passed on to the Bank.
- 45.5 Applicable Taxes will be paid at actual.

#### **46. Payment Terms**

All Payments will be through e-payment mode only by way of NEFT / RTGS. All Payment will be released by the Bank on production of relevant documents. The Delivery Note and Invoices should be raised on Pragathi Krishna Gramin Bank, Head office, Ballari & Kerala Gramin Bank, Head Office, Malappuram Kerala, as per the purchase order. The invoices should be submitted to the Project office at the below address:

<b>Pragathi Krishna Gramin Bank</b>
<b>The Senior Manager,</b> <b>Pragathi Krishna Gramin Bank, Canara RRBs Project Office, LIC "Jeevan Soudha" Building,</b> <b>First Floor, 19/19, 24<sup>th</sup> Main Road, 1<sup>st</sup> Phase, J P Nagar,</b> <b>Bengaluru -560 078</b> <b>Karnataka</b>

The Banks shall release the payment of each undisputed Invoice raised in accordance with this RFP and subsequent Purchase Order/s within thirty (30) Working Days after its receipt unless otherwise mutually agreed in writing, provided that such invoice accompany the required documents together with evidence of delivery / installation and payable under this RFP and subsequent Purchase Order.

The Bidder must accept the payment terms proposed by the Bank. The commercial bid submitted by Bidder must be in conformity with the payment terms proposed by the Bank. Any deviation from the proposed payment terms would not be accepted. The Bank shall have the right to withhold any payment due to the Bidder, in case of delays or defaults on the part of the Bidder. Such withholding of payment shall not amount to a default on the part of the Bank.

The scope of work is divided in different areas and the payment would be linked to delivery and acceptance of each area as explained below with reference to the **Annexure 20 – Bill of Materials**

- No advance payment will be provided on awarding the contract.
- Payment will be released as per Commercial Bid and as per the Purchase order. The item wise payment schedule will be as follows:

#### Application Cost

- 60% of the cost, of such software, will be payable on successful delivery of said software
- 20% of the cost, of such software, will be payable on successful sign off of UAT by the Bank
- 20% of the cost, of such software, will be payable on Successful Go-Live and sign-off by the Bank

#### Database License, Middleware and Operating System Cost

- 100% payment of the licenses on successful delivery

#### Hardware Costs (DC and DRC) for all hardware as part of the Solution

- 70% of the delivered hardware cost would be payable on successful delivery and verification of BoM supplied at DC and DRC respectively
- 20% of the delivered hardware cost would be payable on successful installation, commissioning, acceptance and sign off by the Bank of the hardware at DC and DRC respectively.
- 10% paid after warranty or submission of bank guarantee of 10% remaining amount and BG time should be covering the remaining warranty period.

#### Implementation Cost

- 30% of the cost of such application on requirement gathering and sign off
- 40% of the cost, of such application implementation, will be payable on successful implementation with all the functionalities of the said software and acceptance sign-off from the Bank in UAT
- 20% of the cost, of such application implementation, will be payable on successful implementation with all the functionalities of the said software and acceptance sign off from the Bank in Production
- The balance 10% of the application implementation cost, will be payable on completion of three months from the date of successful implementation and sign-off of the said software.

### Training Cost

All the cost pertaining to Core team training, Executive awareness training, train the trainer will be paid on sign off from the bank.

### Other Trainings

- Will be paid on successful completion of the mandated training as per the requirement of the bank.
- Training cost for any additional ad-hoc training requested by the Bank would be payable on successful completion of the training.

### Customization Cost

All the additional customization as an when requested by the bank will be paid as below

- 40% on successful deployment of functionality in UAT environment with SIT result submitted by the Bidder
- 40% will be paid after one month of Go live
- 20% will be paid after three months of Go live

### Escrow Cost

The amount to be paid towards escrow cost would be divided into five equal installments, to be paid annually at the beginning of each year.

### Architecture Validation and Assessment

- Will be paid quarterly in arrears on successful sign off of reports from bank respective departments

### Facility Management Cost

- The fees for deploying Service Desk and Facility Management Resources and call center would be payable Quarterly in arrears, at the end of the Quarter, on actuals, as per the bill submitted by the Bidder and on verification of the Bank.
- Also, the payments for that quarter will be made only after the acceptance of the milestones and relevant activities/deliverables for that quarter. Any delay in achievement of the milestones or deliverables will result in further delay of the payment.

i. The Vendor's request(s) for payment shall be made to Bank's in writing (Invoice) accompanied by Service Level Requirements and compliance reports for which payments is being claimed.

ii. All the payments to the Vendor shall be subject to the report of satisfactory accomplishment of the concerned task, to be submitted by the Project coordinating team, as appointed by the Bank for this purpose.

Penalties, if any, on account of liquidated damages and non-compliance of Service Level Requirements, shall be deducted from the invoice value. Further, the Purchaser/ Bank's shall be entitled to make adjustment in the payment of price, in the event of levying liquidated damages on the Vendor/Bidder in the manner set-out in the Bid Documents.

## **47. Order Cancellation/ Termination of Contract**

The Bank reserves the right to cancel the contract of the selected Bidder and recover expenditure incurred by the Bank on the following circumstances:

1. The selected Bidder commits a breach of any of the terms and conditions of the contract.
2. The Bidder goes in to liquidation voluntarily or otherwise.
3. An attachment is levied or continues to be levied for 7 days upon effects of the bid.
4. The progress regarding execution of the contract by the Bidder is unsatisfactory.
5. Deduction on account of penalties exceeds 5% of the total contract price during warranty period and 10% of the total contract price during AMC / ATS period.

After the award of the contract, if the selected Bidder does not perform satisfactorily or delays execution of the contract, the bank will provide 30 days cure period to the Bidder however the Bank reserves the right to get the balance contract executed by another party of its choice if selected Bidder does not perform satisfactorily at the end of 30 days cure period. In this event, the selected Bidder is bound to make good the additional expenditure, which the Bank may have to incur to carry out the bidding process for the execution of the balance of the contract. This clause is applicable if for any reason the contract is cancelled.

The Bank reserves the right to recover any dues payable by the selected Bidder from any amount outstanding to the credit of the selected Bidder, including the pending bills and / or invoking Bank Guarantee, if any, under this contract or any other contract /order.

## **48. Local Support**

- 48.1 The Bidder should be capable of meeting the service & support standards as specified in this tender.
- 48.2 The Bidder shall provide Warranty and AMC support [if contracted] during office Hours on all Bank Working days of the year for all the locations.
- 48.3 Response Time and Meantime to Restore (MTTR) shall be 6 hours for Urban Branches and 8 hours for other locations
- 48.4 Response Time as mentioned in the SLA.

## **49. Software, Drivers and Manuals**

- 49.1 The vendor will supply along with each item ordered all the related documentation and software.
- 49.2 All related documents, manuals, catalogues and information furnished by the Bidder shall become the property of the Bank.

## **50. Warranty**

- 50.1 The entire equipment / hardware (including OS) for this project shall be under Comprehensive Onsite Warranty covering all parts including for the display panel, updates, minor upgrades of software, maintenance or support for its proper operation, performance and output as specified in the tender technical specifications for a period of three years from the Date of Installation / Commissioning.
- 50.2 The Application software's other than OS shall be under comprehensive Warranty for a period of one year

## **51. Scope Involved during Warranty and AMC Period (if contracted)**

During the period of contract up to completion of Warranty and also during Annual Maintenance Contract, the Bidder shall perform the following:

- 51.1 Bidder needs to factor all the all the AMC and ATS of all in scope application and infrastructure. Bidder needs to perform below mentioned activities during the period.
- 51.2 If any software and Hardware updates provided by the OEM as free of cost, it should be provided and installed & configured by the selected Bidder during contract period.
- 51.3 Any corruption in the Software or media shall be rectified during the full period of the contract including Warranty and AMC, if contracted, at no extra cost to the Bank.
- 51.4 The system spare parts/services, as and when required, and complete maintenance of the Servers, Storage Systems and other Items during warranty period and AMC shall be supported for a period to be specified by the bank.
- 51.5 The support shall be given in person or through telephone, FAX, letter and E-mail within a reasonable time as the case may be.
- 51.6 Only licensed copies of software shall be supplied and ported in the Servers, Storage Systems and other Items. The Bidder shall grant an irrevocable perpetual license to the Bank to use the software. Further, all software supplied shall be of latest version.
- 51.7 The Bidder shall provide centralized complaint booking facility to the bank and the dash board, if available, shall be provided to the Bank. The method of booking complaints shall be E-mail, Toll-free no, on line portal, web, etc.
  - Escalation matrix should be provided for support, technical, project, etc. as per Annexure-15.
  - During AMC period Bank may, by notice of not less than 30 days in writing to the Bidder, modify or delete either any location or all location, either partial items or all items of the contract.
- 51.8 During the Warranty and AMC period, the Bidder should extend the On-Site Service Support. The scope of Warranty and AMC (if contracted) shall include: -
  - Rectification of defects if any.
  - Preventive Maintenance quarterly.
  - Maintenance of Servers & System Software for Virtualization
  - Replacement of all spares without any extra cost to Bank covering all parts & labor.

## **52. Mean Time between Failures (MTBF)**

If during the warranty period, any hardware items fails (hardware) on four or more occasions in a quarter, such hardware items shall be replaced by equivalent / superior new hardware items by the vendor at no additional cost to the Bank.

## **53. Defect Liability**

In case any of the supplies and equipment delivered under the Contract are found to be defective as to material and workmanship and / or not in accordance with the requirement, and/or do not achieve

the guaranteed performance as specified herein, within the warranty and AMC period (if contracted) of the contract and the Bidder shall forthwith replace/make good such defective supplies at no extra cost to the bank without prejudice to other remedies as may be available to the bank as per RFP terms.

## **GENERAL CONDITIONS**

### **54. Intellectual Property Rights**

- 54.1 Bidder warrants that the inputs provided shall not infringe upon any third party intellectual property rights, including copyrights, patents and other intellectual property rights of any nature whatsoever. Bidder warrants that the deliverables shall not infringe upon any third party intellectual property rights, including copyrights, patents and other intellectual property rights of any nature whatsoever. The Bidder should ensure that the Hardware and Software supplied to the Bank shall not infringe the third party intellectual property rights, if any. The Bidder has to ensure that third party rights are not infringed even in case of equipment /software supplied on behalf of consortium as Bidder.
- 54.2 In the event the Deliverables become the subject of claim of violation or infringement of a third party's intellectual property rights during or beyond the period of the contract, Bidder shall at its choice and expense: [a] procure for Bank the right to continue to use such deliverables; [b] replace or modify such deliverables to make them non-infringing, provided that the same function is performed by the replacement or modified deliverables as the infringing deliverables; or [c] if the rights to use cannot be procured or the deliverables cannot be replaced or modified, accept the return of the deliverables and reimburse bank for any amounts paid to Bidder for such deliverables, along with the replacement costs incurred by Bank for procuring an equivalent equipment in addition to the penalties levied by Bank. However, Bank shall not bear any kind of expense, charge, fees or any kind of costs in this regard. Notwithstanding the remedies contained herein, the Bidder shall be responsible for payment of penalties in case service levels are not met because of inability of the bank to use the proposed solution.
- 54.3 The indemnification obligation stated in this clause apply only in the event that the indemnified party provides the indemnifying party prompt written notice of such claims, grants the indemnifying party sole authority to defend, manage, negotiate or settle such claims and makes available all reasonable assistance in defending the claims [at the expenses of the indemnifying party]. Notwithstanding the foregoing, neither party is authorized to agree to any settlement or compromise or the like which would require that the indemnified party make any payment or bear any other substantive obligation without the prior written consent of the indemnified party. The indemnification obligation stated in this clause reflects the entire liability of the parties for the matters addressed thereby.
- 54.4 The Bidder acknowledges that business logics, work flows, delegation and decision-making processes of Bank are of business sensitive nature and shall not be disclosed/referred to other clients, agents or distributors of Hardware/Software.

### **55. Roles & Responsibilities during Project Implementation**

- 55.1 All tools, tackles, testing instruments, consumables, vehicles, etc., as required during all operations such as transport, installation, testing, commissioning maintenance during warranty and AMC etc., shall be provided by the Bidder at no extra cost to the Bank for completing the scope of work as per this RFP.
- 55.2 The selected Bidder shall take all steps to ensure safety of Bidder's and the Bank's personnel during

execution of the contract and also be liable for any consequences due to omission or act of the selected Bidder or their sub-bidders.

55.3 In case any damage of Bank's property during execution of work is attributable to the Bidder, Bidder has to replace the damaged property at his own cost.

55.4 The selected vendor has to execute an Undertaking of Authenticity for Hardware Items as per (Annexure-12).

## **56. Indemnity**

56.1 The Bidder shall keep and hold the Bank indemnified and harmless from time to time and at all times against all actions, proceedings, claims, suits, liabilities (including statutory liability), penalties, demands, charges, costs (including legal costs) and expenses, damages, losses and any other expenses which may be caused to or suffered by or made or taken against the Bank arising out of:

- The breach, default or non-performance of undertakings, warranties, covenants or obligations by the Bidder;
- Any contravention or Noncompliance with any applicable laws, regulations, rules, statutory or legal requirements by the Bidder;

56.2 Further, the Bidder shall indemnify, protect and save the Bank against all claims, losses, costs, damages, expenses, action suits and other proceedings, resulting from infringement of any law pertaining to patent, trademarks, copyrights etc. or such other statutory infringements in respect of Servers & System Software supplied by them.

- All indemnities shall survive notwithstanding expiry or termination of the contract and Bidder shall continue to be liable under the indemnities.
- The limits specified above said clause shall not apply to claims made by the Bank/third parties in case of infringement of Intellectual property rights or for claims relating to the loss of damage to real property and tangible personal property and for bodily injury or death and in these cases the liability will be unlimited.
- All Employees engaged by the Bidder shall be in sole employment of the Bidder and the Bidder shall be solely responsible for their salaries, wages, statutory payments etc. That under no circumstances shall be Bank be liable for any payment or claim or claim or compensation (including but not limited to compensation on account of injury / death / termination) of any nature to the employees and personnel of the Bidder.

56.3 Bidder's aggregate liability shall be subject to an overall limit of the total Cost of the project.

## **57. Inspection of Records**

Bank at its discretion may verify the accounts and records or appoint third party for verification including an auditor for audit of accounts and records including Hardware, Software provided to the Bank under this RFP and the vendor shall extend all cooperation in this regard.

## **58. Assignment**

58.1 The vendors shall not assign to any one, in whole or in part, its obligations to perform under the RFP/contract, except with the Bank's written consent.

58.2 If the Bank undergoes a merger, amalgamation, take-over, consolidation, reconstruction, change of ownership etc., this RFP/Contract shall be considered to be assigned to the new entity and such an act shall not affect the rights of the Bank and the Vendor under this RFP.

## **59. Publicity**

Any publicity by the Bidder in which the name of the Bank is to be used will be done only with the explicit written permission of the Bank.

## **60. Insurance**

The Hardware to be supplied will be insured by the Bidder against all risks of loss or damages from the date of shipment till such time, the same is delivered and installed at site and handed over to the Bank/Office. The Bidder has to obtain transit insurance cover for the items to be delivered from their factory/godown to the location and such insurance cover should be available till installation of the Servers & System Software. If there is any delay in the installation which could be attributed to Bank, in such an event the insurance must be available for minimum 30 days from the date of delivery of Servers & System Software.

## **61. Guarantees**

The Bidder should guarantee that the hardware items delivered to the Bank are brand new, including all components. In the case of software, the Bidder should guarantee that the software supplied to the Bank includes all latest patches, upgrades/ updates etc., and the same are licensed and legally obtained. All hardware and software must be supplied with their original and complete printed documentation.

## **62. Confidentiality and Non-Disclosure**

- 62.1 The Bidder shall take all necessary precautions to ensure that all confidential information is treated as confidential and not disclosed or used other than for the purpose of project execution. Bidder shall suitably defend; indemnify Bank for any loss/damage suffered by Bank on account of and to the extent of any disclosure of the confidential information. The Bidder shall furnish an undertaking as given in ANNEXURE-8.
- 62.2 No media release/public announcement or any other reference to the RFP or any program there under shall be made without the written consent of the Bank, by photographic, electronic or other means is strictly prohibited.

## **63. Amendments to Purchase Order**

Once purchase order is accepted by the Bidder, no amendments or modifications of order and no waiver of any of the terms or conditions hereof shall be valid or binding unless made in writing.

## **64. Amendments to the Agreement**

Once contract agreement and AMC agreement [If AMC contracted] are executed with the Bidder, no amendments or modifications of Agreement and no waiver of any of the terms or conditions hereof shall be valid or binding unless made in writing.

## **65. General Order Terms**

Normally, the Order will be placed on the successful Bidder as per the details given in the bid document. But, if there is any change in name/address/constitution of the bidding Firm/Company at any time from the date of bid document, the same shall be informed by the bidders to the Bank immediately. This shall be supported with necessary documentary proof or Court orders, if any. Further, if the bidding Firm / Company is undergoing any re- organization /restructuring / merger / demerger and on account of such a change the Firm/Company is no longer performing the original line of business, the same shall be informed to the Bank. There shall not be any delay in this regard. The decision of the Bank to place orders or otherwise under such situation shall rests with the Bank and the decision of the Bank is final.

## **66. Negligence**

In connection with the work or contravenes the provisions of General Terms, if the selected Bidder neglects to execute the work with due diligence or expedition or refuses or neglects to comply with any reasonable order given to him in writing by the Bank, in such eventuality, the Bank may after giving notice in writing to the selected Bidder calling upon him to make good the failure, neglect or contravention complained of, within such times as may be deemed reasonable and in default of the said notice, the Bank shall have the right to cancel the Contract holding the selected Bidder liable for the damages that the Bank may sustain in this behalf. Thereafter, the Bank may make good the failure at the risk and cost of the selected Bidder.

## **67. Responsibility for Completeness**

- 67.1 The Bidder shall ensure that the Solution provided [Hardware/Software etc.] meets all the technical and functional requirements as envisaged in the scope of the RFP.
- 67.2 The Bidder shall deliver, install the equipment and port the software, and arrange for user level demo at Bidder's cost as per accepted time schedules. The Bidder is liable for penalties levied by Bank for any deviation in this regard. The Bidder shall provide for all drivers/software required installing, customizing and testing the system without any further charge, expense and costing to Bank.
- 67.3 The Bidder shall be responsible for any discrepancies, errors and omissions in the drawings or other information submitted by him irrespective of whether these have been approved, reviewed or otherwise accepted by the bank or not. The Bidder shall take all corrective measures arising out of discrepancies, error and omission in drawings and other information as mentioned above within the time schedule and without extra cost to the bank.

## **68. Responsibilities of the Bidder**

**By submitting a signed bid/response to this RFP the Bidder certifies that:**

- 68.1 The Bidder has arrived at the prices in its bid without agreement with any other Bidder of this RFP for the purpose of restricting competition.
- 68.2 The prices in the bid have not been disclosed and shall not be disclosed to any other Bidder of this RFP.

- 68.3 No attempt by the Bidder to induce any other Bidder to submit or not to submit a bid for restricting competition has occurred.
- 68.4 Each Bidder must indicate whether or not they have any actual or potential conflict of interest related to contracting services with Bank. In case such conflicts of interest do arise, the Bidder must indicate the manner in which such conflicts can be resolved.
- 68.5 The Bidder represents and acknowledges to the Bank that it possesses necessary experience, expertise and ability to undertake and fulfill its obligations, under all phases involved in the performance of the provisions of this RFP. The Bidder represents that all software and hardware to be supplied in response to this RFP shall meet the proposed Bidder solution requirements. The Bidder shall be required to independently arrive at a solution, which is suitable for the Bank, after taking into consideration the effort estimated for implementation of the same. If any services, functions or responsibilities not specifically described in this RFP are an inherent, necessary or customary part of the deliverables or services and are required for proper performance or provision of the deliverables or services in accordance with this RFP, they shall be deemed to be included within the scope of the deliverables or services, as if such services, functions or responsibilities were specifically required and described in this RFP and shall be provided by the Bidder at no additional cost to the Bank. The Bidder also acknowledges that the Bank relies on this statement of fact, therefore neither accepting responsibility for, nor relieving the Bidder of responsibility for the performance of all provisions and terms and conditions of this RFP, the Bank expects the Bidder to fulfill all the terms and conditions of this RFP.

## **69. Force Majeure**

- 69.1 The Bidder shall not be liable for default or non-performance of the obligations under the contract, if such default or non-performance of the obligations under this contract is caused by any reason or circumstances or occurrences beyond the control of the Bidder, i.e. Force Majeure.
- 69.2 For the purpose of this clause, "Force Majeure" shall mean an event beyond the control of the Bidder, due to or as a result of or caused by acts of God, wars, insurrections, riots, earth quake and fire, events not foreseeable but does not include any fault or negligence or carelessness on the part of the Bidder, resulting in such a situation.
- 69.3 In the event of any such intervening Force Majeure, the Bidder shall notify the Bank in writing of such circumstances and the cause thereof immediately within five calendar days. Unless otherwise directed by the Bank, the Bidder shall continue to perform / render / discharge other obligations as far as they can reasonably be attended / fulfilled and shall seek all reasonable alternative means for performance affected by the Event of Force Majeure.
- 69.4 In such a case, the time for performance shall be extended by a period (s) not less than the duration of such delay. If the duration of delay continues beyond a period of three months, the Bank and the Bidder shall hold consultations with each other in an endeavor to find a solution to the problem. Notwithstanding above, the decision of the Bank shall be final and binding on the Bidder.

## **70. Corrupt and Fraudulent Practices**

- 70.1 As per Central Vigilance Commission (CVC) directives, it is required that Bidders/ Suppliers / Contractors observe the highest standard of ethics during the procurement and execution of such contracts in pursuance of this policy:
- 70.2 "Corrupt Practice" means the offering, giving, receiving or soliciting of anything of values to influence the action of an official in the procurement process or in contract execution AND

- 70.3 "Fraudulent Practice" means a misrepresentation of facts in order to influence a procurement process or the execution of contract to the detriment of the Bank and includes collusive practice among bidders (prior to or after bid submission) designed to establish bid prices at artificial non-competitive levels and to deprive the Bank of the benefits of free and open competition.
- 70.4 The Bank reserves the right to reject a proposal for award if it determines that the Bidder recommended for award has engaged in corrupt or fraudulent practices in competing for the contract in question.
- 70.5 The Bank reserves the right to declare a firm ineligible, either indefinitely or for a stated period of time, to be awarded a contract if at any time, it determines that the firm has engaged in corrupt or fraudulent practices in competing for or in executing the contract.
- 70.6 The decision of Bank in determining the above aspects will be final and binding on the all the Bidders. No Bidder shall contact through any means of communication the Bank or any of its employees on any matter relating to its Bid, from the time of Bid opening to the time the contract is awarded. If the Bidder wishes to bring additional information to the notice of the Bank, it may do so in writing.
- 70.7 Any effort/attempt by a Bidder to influence the Bank in its decision on bid evaluation, bid comparison or contract award may result in not rejection of the Bidder's bid and/or blacklisting the Bidder. The Bidder agrees not to hire, solicit or accept solicitation either directly or through a third party from any of the employees of the Bank directly involved in this contract during the period of contract and one year thereafter, except as the parties may agree on the case to case basis.
- 70.8 The selected Bidder shall ensure compliance of CVC guidelines issued or to be issued from time to time for selection of vendor for the scope of work covered in this RFP.

## **71. Resolution of Disputes**

All disputes and differences of any kind whatsoever, arising out of or in connection with this Offer or in the discharge of any obligation arising under this Offer (whether during the course of execution of the order or after completion and whether beyond or after termination, abandonment or breach of the Agreement) shall be resolved amicably. In case of failure to resolve the disputes and differences amicably the matter may be referred to a sole arbitrator mutually agreed upon after issue of at least 30 days' notice in writing to the other party clearly setting out there in the specific disputes. In the event of absence of consensus about the single arbitrator, the dispute may be referred to joint arbitrators; one to be nominated by each party and the said arbitrators shall appoint a presiding arbitrator. The provisions of the Indian Arbitration and Conciliation Act, 1996, shall govern the arbitration. The venue of arbitration shall be Bengaluru, INDIA.

## **72. Modification/ Cancellation of RFP**

The bank reserves the right to modify/cancel/re-tender without assigning any reasons whatsoever. The bank shall not incur any liability to the affected Bidder(s) on account of such rejection. Bank shall not be obliged to inform the affected Bidder(s) of the grounds for the Bank's rejection/cancellation.

### **73. Responsibilities of the Selected Bidder**

73.1 The Selected Bidder has to inform change in the management of the company, if any, to the Bank within 30 days from the date of such change during warranty and AMC period.

73.2 The Bank will call for Audited Balance Sheet of the selected Bidder at any point of time during warranty and AMC period and the selected Bidder shall provide the same.

The selected Bidder basis as at the end of 31<sup>st</sup> March and 30<sup>th</sup> September during warranty and AMC shall submit updated Escalation Matrix for the product/services on a Half-yearly period.

### **74. Legal Disputes and Jurisdiction of the Court**

74.1 Without limitation, a right for recovery of any amounts and related costs and The Bank Clarifies that the Bank shall be entitled to an injunction, restraining order, right for recovery, specific performance or such other equitable relief as a court of competent jurisdiction may deem necessary or appropriate to restrain Bidder/prospective Bidder from committing any violation or enforce the performance of the covenants, obligations and representations contained in this RFP. These injunctive remedies are cumulative and are in addition to any other rights and remedies the Bank may have at law or in equity, including a right for damages.

74.2 All disputes and controversies between Bank and Bidder shall be subject to the exclusive jurisdiction of the courts in Bengaluru and the parties agree to submit themselves to the jurisdiction of such court as this RFP/contract agreement shall be governed by the laws of India.

### **75. At-Risk Amount**

#### **System Uptime and Support Services:**

- Amount not exceeding 10% of the overall project cost per annum.

#### **Management, Governance and Reporting related services:**

- Management, Governance and Reporting (excluding Transition and Project Initiation) – Amount not exceeding 10% of the estimated quarterly pay-out of the respective quarter
- The one-time penalty for Project Initiation and Transition closure shall not be subject to the limit specified above

#### **Other Services (Installation / Implementation / Upgrade Services) delivered by the Bidder:**

- During Warranty - Amount not exceeding 5% of project cost per annum (excluding AMC/ ATS)
- During AMC/ ATS - Amount not exceeding 10% of the annual charges for various services.

### **76. Merger and Amalgamation**

The Parties recognize that the Banks may amalgamate or merge with other banks or similar entities in India during the Contract duration. The System Integrator undertakes to facilitate the provision of the CBS Project, other applications and related services, in case the Banks undergo any amalgamation, acquisition or merger in the future.

In the event of any merger or amalgamation the Parties agree that

- The vendors shall not assign to any one, in whole or in part, its obligations to perform under the RFP/contract, except with the Bank's written consent
- If the Bank undergoes a merger, amalgamation, take-over, consolidation, reconstruction, change of ownership etc., this RFP/Contract shall be considered to be assigned to the new entity and such an act shall not affect the rights of the Bank and the Vendor under this RFP
- On the Banks' request, the Banks and the System Integrator shall prepare and implement an integration plan to integrate the technology services of the acquired entity with that of the relevant Bank.
- If the assignment of the Project to the resultant entity does not result in any addition to the scope of work or in the resources required to provision the Project, under the Transaction Documents, then the System Integrator shall continue to discharge its obligations to the resultant entity in the same manner as to the Banks, at no additional cost.
- If there are any additions to the SOW or resources, with regard to the provision of the Project to be provided to the resultant entity, such additions shall be implemented through the Change Control Procedure on mutually agreement terms and conditions

## **77. Escrow**

- The Bank and the Bidder shall agree to appoint an escrow agent to provide escrow mechanism for the deposit of the source code for the Centralized Banking software product and all the 3rd party applications supplied/procured by the Vendor to the Bank or taken handover as part of the transition in order to protect its interests in an eventual situation. In case of a disagreement between the Bank and the Vendor regarding appointment of an escrow agent, the Bank shall appoint an escrow agent in its entire discretion which shall be final and binding on the Vendor.
- The Bidder will ensure that any updates to source code are made on a quarterly basis or interim source updates for specific releases, whichever is later
- The Bank and the Vendor shall enter into a tripartite escrow agreement with the designated escrow agent, which will set out, inter alia, the events of the release of the source code and the obligations of the escrow agent. Costs for the Escrow will be borne by the Vendor. As a part of the escrow arrangement, the final selected Vendor is also expected to provide a detailed code documentation of CBS solution and all other 3rd party applications which have been duly reviewed by an external independent organization.
- The Escrow arrangement suggested by the Vendor shall not be binding on the Bank. The Bank reserves the right to explore alternate escrow mechanisms based on the Bank's existing practices. The Bank and the Vendor may enter into such escrow arrangement that is mutually agreed upon by the two parties.
- This agreement will be signed between four parties i.e. both Bank's, Bidder and Escrow agent
- Escrow cost needs to be paid in the ratio of 50:50 where only 50 percentage of the quoted cost will be borne by the bank and 50 percentage of the quoted cost will be borne by the Bidder

## **78. Triparty Agreement and Invoice Raising Mechanism**

Bidder need to sign a triparty agreement which will be between PKGB, KGB and Bidder. Bidder need to note that all the invoice raised on Bank's needs to be spilt as per the below methodology. However, for all coordination related to payment release, penalty calculations and for any other clarification Bidder needs to liaise with PKGB Project Office.

### **78.1 Infrastructure**

All the augment and procurement of the infrastructure invoice needs to be raised in mutual discussion with Bank's management as the same needs to be split on GSTIN numbers of both Bank's.

### **78.2 Services Rendered**

Any bank specific services payment invoice like payment of Resident Engineer at Regional Offices needs to be marked under proper GSTIN Number.

Any Common Services payment invoice for both banks needs to be split in the ratio of 50:50 and marked under proper GSTIN Number.

**General Manager**

## ANNEXURES

### Annexure 1- Checklist

To,  
General Manager,  
**Pragathi Krishna Gramin**  
**Bank**, Head Office,  
IT Department  
32, Sanganakal Road,  
Gandhinagar, Ballari – 583103 Karnataka State

Vendors to verify the checkpoints and ensure accuracy of the same before submission of the Bid:

<b>ANNEXURES (to be submitted with Part A- conformity to Eligibility Criteria)</b>	
<b>1</b>	Checklist
<b>2</b>	Bid Covering Letter
<b>3</b>	Eligibility Criteria Declaration
<b>4</b>	Applicant's Profile
<b>5</b>	Details of Offices/ Branches/ Service Centers
<b>6</b>	Authorization Letter Format Track Record
<b>7</b>	Track Record of Past Experience
<b>8</b>	Non-Disclosure Agreement
<b>9</b>	Bank / DD for EMD
<b>10</b>	DD for Tender Document
<b>11</b>	Certificate of Good governance and Project Management
<b>ANNEXURES (to be submitted with Part B- conformity to Technical Criteria)</b>	
<b>1</b>	Technical Bid Covering Letter Format
<b>2</b>	Proposed Team Profile
<b>3</b>	Resource Deployment Plan during Implementation Phase
<b>4</b>	Undertaking of Authenticity
<b>5</b>	Compliance Statement
<b>6</b>	Undertaking Letter
<b>7</b>	Escalation Matrix
<b>8</b>	Manufacturer/Authorized Distributor in India Form
<b>9</b>	Functional and Technical Specification
<b>10</b>	Storage Augmentation
<b>11</b>	Masked Bill of Material
<b>ANNEXURES (to be submitted with Part C- conformity to Commercial Criteria)</b>	
<b>1</b>	Covering Letter for Commercial Bid
<b>2</b>	Bill of Material (Indicative)

**Vendors to verify the checkpoint and ensure accuracy of the same before submission of the bid**

Date:

Signature with Seal .....

Name: .....

Designation:.....

Other Clauses		Vendor Response (Yes/No)
1	Whether Cost of the Tender document (demand draft payable at Ballari) is submitted along with Part A- Conformity to Eligibility Criteria	
2	Whether EMD/ Bank Guarantee submitted in Part A- Conformity to Eligibility Criteria	
3	Whether the Bid is authenticated by authorized person? Copy of Power of Attorney or Authorization letter from the company authorizing the person to sign the bid document to be submitted in Part A-Conformity to Eligibility Criteria	
4	Whether all pages are authenticated with signature and seal (Full signature to be affixed and not initials). Erasures / Overwriting / Cutting / Corrections authenticated Certification/ Undertaking is authenticated?	
5	Whether Call log in Procedure, Preventive and Break down / Corrective Maintenance is provided?	
6	Whether address of Office on which order has to be placed is indicated in Annexure 4	
7	Whether ensured that, the Hardware Items quoted are not End Of Life/End Of Support?	
8	Whether ensured that, the separately sealed envelopes containing Part A- Conformity to Eligibility Criteria, Part B-Technical Proposal and Commercial Bid and sealed in another big envelope super scribed as per RFP instructions. The Name of the Bidder and Due date of the RFP is specified on the top of the envelope.	
9	Whether ensured Indexing of all Documents submitted with page numbers?	
10	Whether replica of Price Bid (Masked price bid) as per Bill of Material is submitted in Technical- Part B	

Vendors to verify the above checklist and ensure accuracy of the same before submission of the Checked for accuracy

Date:

Signature with Seal .....

Name: .....

Designation:.....

The Authorization letter as per format ANNEXURE-6 is to be carried in person and shall not be placed inside any of the bid covers.

Ensure

## **Annexure 2- Bid Covering Letter Format**

RFP No:

Date:

The General Manager,  
**Pragathi Krishna Gramin  
Bank**, Head Office,  
IT Department  
32, Sanganakal Road,  
Gandhinagar, Ballari -583103  
Karnataka State

Dear Sir,

SUB: RFP for "Selection of System Integrator for Maintenance of Finacle Core Banking Solution, Allied Applications, Delivery Channels, Facilities Management and other services at Data Center, Disaster Recovery Center, Branches and Offices"

Having examined the tender document including all Annexure the receipt of which is hereby duly acknowledged, we, the undersigned, offer to take part in Selection of System Integrator for Maintenance of Finacle Core Banking Solution, Allied Applications, Delivery Channels, Facilities Management and other services at Data Center, Disaster Recovery Center, Branches and Offices in conformity with the said tender in accordance with the schedule of prices indicated in the commercial offer and made part of this offer.

If our offer is accepted, we undertake to complete the project as per the timelines mentioned in the RFP Section 11.

If our offer is accepted, we undertake to provide Service support for the devices supplied as per the above referred RFP, during three years' warranty as well as two years AMC / 1 year warranty and 4 years ATS, if contracted.

We enclose a Demand Draft /Bank Guarantee in lieu of EMD for Rs. 1,50,00,000/- in favour of Pragathi Krishna Gramin Bank as EMD.

We agree to abide by this offer till calendar months from the date of last day for submission of offer (Bid) and for such further period as mutually agreed between the bank and successful Bidder, and agreed to in writing by the Bidder. We also agree to keep the Earnest Money Deposit/Bank Guarantee in lieu of EMD during the entire validity period of the tender. However, if we withdraw our offer within the said validity period, you shall have the right to forfeit the EMD/invoke the Bank Guarantee in lieu of EMD, without reference to us. We agree to abide by and fulfil all the terms and conditions of the tender and in default thereof, to forfeit and pay to you or your successors, or authorized nominees such sums of money as are stipulated in the conditions contained in tender together with the return acceptance of the contract for reverse auction services.

We accept all the Instructions, Technical Specifications, Terms and Conditions and Scope of Work of the subject RFP.

We understand that the Bank is not bound to accept the lowest or any offer the Bank may receive without assigning any reason whatsoever.

Dated this \_\_\_\_\_ day of \_\_\_\_\_ 2018

Signature of the Authorized Representative  
Name of the company with seal

### Annexure 3- Eligibility Criteria Declaration

The General Manager,  
**Pragathi Krishna Gramin Bank,**  
Head Office, IT Department, 32,  
Sanganakal Road, Gandhinagar,  
Ballari -583103 Karnataka State

Dear Sir,

**SUB: RFP for Selection of System Integrator for Maintenance of Finacle Core Banking Solution, Allied Applications, Delivery Channels, Facilities Management and other services at Data Center, Disaster Recovery Center, Branches and Offices**  
.....

Sl. No.	Eligibility Criteria	Supporting Documents
	<b>Bidder's Experience</b>	
<b>1</b>	The Bidder should be a Government Organization / PSU / Limited Company / Private Limited Company under companies Act, 1956 Or later in India.	Certificate of Incorporation / Certificate of commencement.
<b>2</b>	The Bidder should have been in existence for a minimum period of 5 years in India.	Certificate of Incorporation / Certificate of commencement.
<b>3</b>	The Bidder should have a minimum turnover of Rs. 100 Crores per annum in each of the last three financial years In India.	Audited Financial statements for the financial year 2014-15, 2015-16 and 2016-17 AND CA Certificate indicating the sales Turnover for the previous financial years mentioned above.
<b>4</b>	The Bidder should have a positive net worth in the last three Financial years in India. Net worth is to be calculated as follows: Capital Funds (Paid up equity capital + Paid up preference shares + Free reserves) – (Accumulated balance of loss + Balance of deferred revenue expenditure + Other intangible assets).	Audited Financial statements for the financial year 2014-15, 2015-16and 2016-17 AND CA Certificate indicating the net-worth for the previous financial years mentioned above.
<b>5</b>	The Bidder should not have been black-listed by the Bank, any Public-Sector Bank, RBI/NHB or IBA as on the date of submission of the bid. Bidder must certify to that effect.	Self- Declaration on Bidder's letter head
<b>6</b>	Bidder should have service/support infrastructure at Mumbai, Bengaluru and major centers where the Banks have presence, including DC, DRC and Project office, and should be able to provide efficient and effective support	Self- Declaration on Bidder's letter head

<b>Sl. No.</b>	<b>Eligibility Criteria</b>	<b>Supporting Documents</b>
<b>7</b>	The Bidder shall be the authorized partner or OEM of each of the key solutions (Finacle CBS, Mobile Banking, Internet Banking, ALM, AML) implemented / supported / managed.	Letter from each solution OEM authorizing the Bidder to participate in the RFP.
<b>8</b>	The Bidder should have Implemented/Managed/supported Finacle Core Banking solution in at least 1(one) scheduled Commercial Bank of India with minimum 200 branches in India.	Experience certificate in the relevant Bank's letter head
<b>9</b>	The Bidder should have prior experience of managing/supporting IT infrastructure at DC and DRC, including CBS Servers, CBS Storage, Network and Security components in a minimum of 2 scheduled commercial Banks in India with minimum of 750 branches per Bank in India	Relevant Credential letters OR Purchase Order with the Bank's confirmation for having executed the Purchase Order
<b>10</b>	The Bidder should have at least one of the following accreditations/ certifications which is valid as on submission date of this RFP E) ISO 9000 / 9001 F) ISO 27001:2005 or equivalent G) ISO 27001:2013 H) CMMI Level 5	Certificate copy to be provided
<b>11</b>	The Bidder should have done management of Core Network and Security infrastructure in 2 scheduled commercial Banks in India including branch network, with a minimum of 750 branches per Bank in India.	Relevant Credential letters OR Purchase Order with the Bank's confirmation for having executed the Purchase order.
<b>12</b>	Must have experience in integration and support of other surround applications that the Bank has currently implemented like AML, ALM, Net Banking, Mobile Banking, FI gateway solution, SFMS with Finacle / any leading Core banking solution in India.	Relevant Credential letters OR Purchase Order with the Bank's confirmation for having executed the Purchase order to the satisfaction of the bank.
<b>13</b>	Must have capability in integrating and supporting other surround applications that the Bank may implement in future like LOS, DMS, Risk management solution, EFRM with Finacle or any leading Core banking solution in India	Self- Declaration on Bidder's letter head
<b>14</b>	Bidder needs to submit a good project management and governance certificate from at least 1(one) scheduled Commercial Bank of India with minimum 200 branches in India.	Bidder needs to submit the credential in the format specified in Annexure 17

Sl. No.	Eligibility Criteria	Supporting Documents
15	The Bidder should have back lining Agreement with OEM, which is mandatory for all the applications proposed / taken handover in the RFP	Bidder needs to submit a self-declaration at the time of bid submission however the agreement copy needs to submit after L1 declaration.
	<b>OEM's Experience</b>	
1	The OEM should not have been black-listed by the Bank, any Public-Sector Bank, RBI/NHB or IBA as on the date of submission of the bid. OEM must certify to that effect.	Self- Declaration on OEM's letter head

**We have carefully gone through the contents of the above referred RFP and furnish the following information relating to Eligibility Criteria.**

We confirm that the information furnished above is true and correct. We also note that, if there are any inconsistencies in the information furnished above, the bid is liable for rejection.

Date:

Signature with Seal .....

Name: .....

Designation:.....

#### Annexure 4- Applicant's Profile

Sl. No.	Particulars	Details
<b>A</b>	<b>Company / Supplier Profile- If the Bidder is not manufacturer</b>	
<b>1</b>	Name of the Suppliers/Firm / Company	
<b>2</b>	Constitution	
<b>3</b>	Date of Establishment/Incorporation	
<b>4</b>	Address (Order to be placed on which Office) Registered Office Corporate Office	
<b>5</b>	Telephone No FAX No E-mail Address Website	
<b>6</b>	Sales Turnover from IT related business for last Three years. 2014-2015 2015-2016 2016-2017	
<b>7</b>	Domestic Customer Base (Number of Clients where Servers & software is supplied in India)	
<b>8</b>	Service Net Work (Number of Service Centers in ) Karnataka  Kerala PAN number for Income Tax is . We are registered with the GST authorities and our registration numbers are as follows. . Bank Details Name and Style of Bank Account Name of the Bank and Branch address Account Number RTGS / NEFT/IFS Code	
<b>B</b>	<b>Manufacturer's Profile-if Bidder is manufacturer</b>	
<b>1</b>	Name of the Manufacturing Company	
<b>2</b>	Constitution of the Manufacturing Company	
<b>3</b>	Date of Establishment/Incorporation of the Manufacturing Company	
<b>4</b>	Address of the Manufacturing Company Registered Office Corporate Office	
<b>5</b>	Telephone No FAX No E-mail Address Website	
<b>6</b>	Nature of Relationship of your company with the Manufacturing Company.	

Sl. No.	Particulars	Details
	Subsidiary of the Manufacturing Company/Division of Manufacturing Company/Sole Distributor/Non Exclusive Distributor/Agent/Others Please Specify	
7	Experience of the Manufacturing Company in Supply of Servers & software for Virtualization	
8	<p>PAN number for Income Tax is _____.</p> <p>We are registered with the GST authorities and our registration numbers are as follows.</p> <p><u>Bank Details</u></p> <p>Name and Style of Bank Account Name of the Bank and Branch address Account Number</p> <p>RTGS / NEFT/IFS Code</p>	

Date:

Signature with Seal .....

Name: .....

Designation :.....

## Annexure 5- Details of Offices/ Branches/ Service Centers

[Note: These details should be on the letter head of Bidder and should be signed by an Authorized Signatory with Name and Seal of the Company]

Sl. No	Place	Postal Address	Contact Details (including Name of In charge and his contact no. email etc.,)	Service Facilities Available (Describe)	No. of Engineers	Jurisdiction
1						
2						
3						
4						
5						
6						
7						
...						
...						
...						

Date:

Signature with Seal .....

Name: .....

Designation :.....

## **Annexure 6- Authorization Letter Format**

To be presented by the authorized person at the time of Technical / Commercial Bid Opening on the letter head of Bidder and should be signed by an Authorized Signatory with Name and Seal of the Company)

RFP No:

Date:

The General Manager,  
**Pragathi Krishna Gramin**  
**Bank**, Head Office,  
IT Department  
32, Sanganakal Road,  
Gandhinagar, Ballari -583103  
Karnataka State

**Dear Sir,**

SUB: Authorization Letter for attending the Bid Opening

**Sub: Your RFP for Selection of System Integrator for Maintenance of Finacle Core Banking Solution, Allied Applications, Delivery Channels, Facilities Management and other services at Data Center, Disaster Recovery Center, Branches and Offices**

This has reference to your above RFP for **“Selection of System Integrator for Maintenance of Finacle Core Banking Solution, Allied Applications, Delivery Channels, Facilities Management and other services at Data Center, Disaster Recovery Center, Branches and Offices”**

Mr. /Miss /Mrs. \_\_\_\_\_ is hereby authorized to attend the bid opening of the above RFP on \_\_\_\_\_, on behalf of our organization.

The specimen signature is attested below:

\_\_\_\_\_  
Signature Specimen

\_\_\_\_\_  
Signature of Authorizing Authority

\_\_\_\_\_  
Signature of Attesting Authority

Name of Authorizing Authority

NOTE: This Authorization letter is to be carried in person and shall not be placed inside any of the bid covers.

## **Annexure 7- Track Record for Past Experience in Schedule commercial Banks in India**

SUB: RFP for “Selection of System Integrator for Maintenance of Finacle Core Banking Solution, Allied Applications, Delivery Channels, Facilities Management and other services at Data Center, Disaster Recovery Center, Branches and Offices”

Ref: Your RFP for Selection of System Integrator for Maintenance of Finacle Core Banking Solution, Allied Applications, Delivery Channels, Facilities Management and other services at Data Center, Disaster Recovery Center, Branches and Offices

Name of the Bidder\_\_\_\_\_

S.No.	Name of the Client/s	Contact Person's Name	Telephone No.	Address
1				
2				
3				
4				
5				

(Enclose necessary documentary proof)

Date:

Signature with Seal .....

Name: .....

Designation :.....

## Annexure 8- Non-Disclosure Agreement

(To be given on the Company's Letter Head)

WHEREAS, we, \_\_\_\_\_, having Registered Office at \_\_\_\_\_, hereinafter referred to as the Bidder, are agreeable to provide IT Infrastructure services to Pragathi Krishna Gramin Bank, having its Head office at 32, Sangankal Road, Gandhinagar, Ballari and Kerala Gramin Bank having its Head Office and Malappuram, Kerala hereinafter referred to as the Banks and,

WHEREAS, the Bidder understands that the information regarding the Bank's IT Infrastructure shared by the Bank in their Request for Proposal is confidential and/or proprietary to the BANK, and

WHEREAS, the Bidder understands that in the course of submission of the offer for "Selection of System Integrator for Maintenance of Finacle Core Banking Solution, Allied Applications, Delivery Channels, Facilities Management and other services at Data Center, Disaster Recovery Center, Branches and Offices" and/or in the aftermath thereof, it may be necessary that the Bidder may perform certain jobs/duties on the Banks properties and/or have access to certain plans, documents, approvals or information of the BANK; NOW THEREFORE, in consideration of the foregoing, the Bidder agrees to all of the following conditions, in order to induce the BANK to grant the Bidder specific access to the Bank's property/information. The Bidder will not publish or disclose to others, nor, use in any services that the Bidder performs for others, any confidential or proprietary information belonging to the BANK, unless the Bidder has first obtained the Bank's written authorization to do so.

The Bidder agrees that notes, specifications, designs, memoranda and other data shared by the BANK or, prepared or produced by the Bidder for the purpose of submitting the offer to the BANK for the said solution, will not be disclosed to during or subsequent to submission of the offer to the BANK, to anyone outside the BANK.

The Bidder shall not, without the Bank's written consent, disclose the contents of this Request for Proposal (Bid) or any provision thereof, or any specification, plan, pattern, sample or information (to be) furnished by or on behalf of the BANK in connection therewith, to any person(s) other than those employed/engaged by the Bidder for the purpose of submitting the offer to the BANK and/or for the performance of the Contract in the aftermath. Disclosure to any employed/engaged person(s) shall be made in confidence and shall extend only so far as necessary for the purposes of such performance.

Date:

Signature with Seal .....

Name: .....

Designation :.....

## **Annexure 9- Technical Bid Covering Letter Format**

The General Manager,  
**Pragathi Krishna Gramin Bank,**  
Head Office, IT Department, 32, Sanganakal Road, Gandhinagar,  
Ballari -583103 Karnataka State

Dear Sir,

**SUB: RFP for “Selection of System Integrator for Maintenance of Finacle Core Banking Solution, Allied Applications, Delivery Channels, Facilities Management and other services at Data Center, Disaster Recovery Center, Branches and Offices”**

**Ref: Your RFP for Selection of System Integrator for Maintenance of Finacle Core Banking Solution, Allied Applications, Delivery Channels, Facilities Management and other services at Data Center, Disaster Recovery Center, Branches and Offices**

We have carefully gone through the contents of the above referred RFP and furnish the following information relating to Technical Bid/Specification: -

<b>S.No.</b>	<b>Particulars</b>	<b>Details to be furnished by the Bidder</b>
<b>1</b>	Technical Specifications as per Annexure 17	
<b>2</b>	Name of the Bidder	
<b>3</b>	E-mail address of contact persons	
<b>4</b>	Details of: Description of business and business background Service profile & Client profile	
<b>5</b>	Approach and methodology for the proposed scope of work along with illustrative deliverables.	
<b>6</b>	Details of similar assignments executed by the Bidder during the last three years in India (Name of the Bank, time taken for execution of the assignments and documentary proof from the Bank are to be furnished)	
<b>7</b>	List of applicant's major customers in last 3 years and details as below may be taken: i) Name and complete postal Address of the Customer. ii) Name, designation, Telephone, Fax, Nos., e-mails and address of the contact person(customer) iii) Whether reference letter enclosed.	
<b>8</b>	Details of inputs/requirements required by the Bidder to execute this assignment.	
<b>9</b>	Conformity to the obtaining of various certificates/bench mark testing standards for	

S.No.	Particulars	Details to be furnished by the Bidder
	the items quoted to meet the intent of the RFP	
10	Conformity regarding back to back arrangements with third party hardware software for providing continuous and un-interrupted support to meet SLA obligations as per RFP Terms.	

**Declaration:**

- a. We confirm that we will abide by all the terms and conditions contained in the RFP.
- b. We hereby unconditionally accept that Bank can at its absolute discretion apply whatever criteria it deems appropriate, not just limiting to those criteria set out in the RFP, in shortlisting of bidders.
- c. All the details mentioned by us are true and correct and if Bank observes any misrepresentation of facts on any matter at any stage, Bank has the absolute right to reject the proposal and disqualify us from the selection process.
- d. We confirm that we have noted the contents of the RFP and have ensured that there is no deviation / assumption / exclusion in filing our response to the RFP & scope and that the Bank will have the right to disqualify us in case of any such deviations / assumption / exclusion.

Date:

Signature with Seal .....

Name: .....

Designation :.....

## **Annexure 10- Resource Profile**

**List of Resources with Experience in Finacle Implementation/ Migration for any Bank in India**

<b>S.No.</b>	<b>Name of the Resource</b>	<b>Total Finacle Implementation/ Migration Experience (Year/Month)</b>	<b>Client Name</b>	<b>Will be Deployed at RRB (Y/N)</b>	<b>Remarks</b>

**List of Resources with Experience in Finacle Customization for any Banks in India**

<b>S.No.</b>	<b>Name of the Resource</b>	<b>Total Finacle Customization Experience (Year/Month)</b>	<b>Client Name</b>	<b>Will be Deployed at RRB (Y/N)</b>	<b>Remarks</b>

**List of Resources with experience in Finacle Training for any Bank in India**

<b>S.No.</b>	<b>Name of the Resource</b>	<b>Total Finacle Customization Experience (Year/Month)</b>	<b>Client Name</b>	<b>Will be Deployed at RRB (Y/N)</b>	<b>Remarks</b>

### Format for Project Team Profiles

1	Name			
a	Brief Introduction (in bullets)			
2	Date of Birth			
3	Phone Number			
4	Position in the firm			
5	Total years of post-qualification work experience			
6	Employment Record			
	<b>Company Name</b>	<b>Positions Held</b>	<b>Duration</b>	<b>Clients Worked</b>
6.1				
6.2				
6.3				
6.4				
6.5				
7	Number of years with the firm			
8	Details of relevant assignments undertaken (include both past and current employment projects and highlight Banking experience, if any) (Provide scope, duration, client name and status of assignment)			
a	Year			
	Location			
	Client Name			
	Main project title and features			
	Position held			
	Activities performed			
b	Year			
	Location			
	Client Name			
	Main project title and features			
	Position held			
	Activities performed			
9	<b>Education</b>			
	<b>Degree Obtained</b>	<b>Year of Degree obtained</b>	<b>Institution</b>	
9.1				
9.2				
9.3				
9.4				
9.5				
10	<b>Certification</b>			

	Degree Obtained	Year of Degree obtained	Institution
10.1			
10.2			
10.3			
10.4			
10.5			

Area	Role / Description	Experience	Educational Qualifications/ Certifications/Skills
<b>Governance</b>	Project Director	>15 years	1) MBA/Engineering with PMI Certification. ISO 20000 implementation certification will be an added advantage. 2) Should have experience As Project Director of managing IT Infrastructure managed services (servers, storage, database, networks, backup & restore ) and Applications (Finacle, FLEXCUBE, Bancs) Implementation and operations engagements in at least one Scheduled Commercial Banks in India having more than 1000 branches
	Program Manager/ Service Delivery Manager for Infra structure	>10 years	1) MBA/Engineering with PMI Certification. ISO 20000 implementation certification will be an added advantage. 2) Should have experience as Program Manager of managing IT Infrastructure managed services (servers, storage, database, networks, backup & restore ) Implementation and operations engagements in at least one Scheduled Commercial Banks in India having more than 1000 branches
	Program Manager/ Service Delivery Manager for Application	>10 years	1) MBA/Engineering with PMI Certification. ISO 20000 implementation certification will be an added advantage. 2) Should have experience as Program Manager of managing Applications (Finacle, FLEXCUBE, Bancs) Implementation and operations engagements in at least one Scheduled Commercial Banks in India having more than 1000 branches

Area	Role / Description	Experience	Educational Qualifications/ Certifications/Skills
<b>Managerial Role</b>	Management / Module Lead	>8 years	<ul style="list-style-type: none"> <li>▪ MBA/ Engineer / Diploma From reputed college with first division</li> <li>▪ Experience in managing large teams/ projects and dealing with third party vendors</li> <li>▪ Having Relevant experience of more than 8 years in the module for which name is proposed</li> <li>▪ Have worked as module lead In at least one Scheduled Commercial Banks in India having more than 1000 branches in CBS (Finacle, FLEXCUBE, Bancs) implementation</li> </ul>
	Solution Architect	>10 years	1) MBA/Engineering with TOGAF certification. ISO 20000 implementation certification will be an added advantage. 2) Should have experience in designing Infra and Application layout (LLD, HLD) for at least one Scheduled Commercial Banks in India having more than 1000 branches
<b>IT Infrastructure</b>	L1 (Server, Database, Network Load Balancer, middleware, backup solution)	>2 years	<ul style="list-style-type: none"> <li>▪ Diploma/Engineering Graduate/Science Graduate. If a science graduate is proposed, he should have passed with a first division.</li> <li>▪ Good Communication (written/Oral)</li> <li>▪ Knowledge/expertise on Infrastructure Management - Windows/Solaris/IBM Unix / AIX administration</li> <li>▪ Technical certifications like MCP/SA/ RHCE etc.</li> <li>▪ Specific experience with Storage (e.g. SAN, NAS) and Backup (e.g. Network, Veritas, Tape libraries, TSM), middleware technologies</li> <li>▪ Willing to work in 24X7 environment Should have worked in 1 similar project as L1 for at least one Scheduled Commercial Banks in India having more than 1000 branches</li> </ul>
	L2 (Server, Database, Network Load Balancer, backup solution)	>5 years	<ul style="list-style-type: none"> <li>▪ Diploma/Engineering Graduate/Science Graduate. If a science graduate is proposed, he should have passed with a first division.</li> <li>▪ Good Communication (written/Oral)</li> <li>▪ Knowledge/expertise on Infrastructure Management - Windows/Solaris administration / IBM UNIX / AIX</li> <li>▪ Technical certifications like MCSE, SA, RHCE etc.</li> <li>▪ Specific experience with Storage (e.g. SAN, NAS) and Backup (e.g. Network, Veritas, Tape libraries, TSM) technologies and IBM MQ</li> <li>▪ Have experience on File base cluster system, Middleware like</li> </ul>

Area	Role / Description	Experience	Educational Qualifications/ Certifications/Skills
			Redhat, WebLogic, WebSphere▪ Willing to work in 24X7 environment Should have worked in 2 Similar Projects as L2 for at least one Scheduled Commercial Banks in India having more than 1000 branches
<b>Application CBS &amp; other Delivery Channels</b>	L1	>2 years	<ul style="list-style-type: none"> <li>▪ Diploma/Engineering Graduate/Science Graduate. If a science graduate is proposed, he should have passed with a first division.</li> <li>▪ Good Communication (written/Oral)</li> <li>▪ Knowledge of Finacle Menu Options, Business Logic of Banks, Handling Calls, Managing EOD / BOD operations of Bank</li> <li>▪ Willing to work in 24X7 environment Should have worked in 2 Similar Projects as Finacle Application L1 for at least one Scheduled Commercial Banks in India having more than 1000 branches.</li> </ul>
<b>Application CBS &amp; other Delivery Channels</b>	L2	>5 years	<ul style="list-style-type: none"> <li>▪ Diploma/Engineering Graduate/Science Graduate. If a science graduate is proposed, he should have passed with a first division.</li> <li>▪ Good Communication (written/Oral)</li> <li>▪ Experience of Finacle version 7.0.18 or 7.0.25 Customization, Implementation, Configuration.</li> <li>▪ Knowledge of Internet Banking (FEBA), Customization, Implementation, Configuration.</li> <li>▪ Knowledge of Banking Operation Logic, RTGS, NEFT, Trade Finance, EOD BOD etc.</li> <li>▪ Vendor Management, customization</li> <li>▪ Willing to work in 24X7 environment Should have worked in 2 Similar Projects as Finacle Application L2 for at least one Scheduled Commercial Banks in India having more than 1000 branches.</li> </ul>
<b>Middleware</b>	L2	>5 years	<ul style="list-style-type: none"> <li>▪ Diploma/Engineering Graduate/Science Graduate. If a science graduate is proposed, he should have passed with a first division.</li> <li>▪ Good Communication (written/Oral)</li> <li>▪ 5 years' Experience on all module of Middleware of the proposed solution Customization, Implementation, Configuration.</li> <li>▪ Knowledge of Banking Operation Logic.</li> <li>▪ Vendor Management▪ Willing to work in 24X7 environment Should have worked in 2 Similar Projects as Proposed Application L2 for at least one Scheduled Commercial Banks in India</li> </ul>

Area	Role / Description	Experience	Educational Qualifications/ Certifications/Skills
			having more than 1000 branches.
<b>RO FME</b>	L1	>2 years	<ul style="list-style-type: none"> <li>• Graduate /Diploma with IT background or equivalent</li> <li>• 2+ years of overall experience with at least 1 year of relevant experience in managing all aspects of IT/ Network infrastructure and Monitoring of the IT services</li> <li>• experience of IT Infrastructure/ Network Monitoring</li> </ul>
<b>Wintel</b>	L1	>3 years	<ul style="list-style-type: none"> <li>• BE/B.Tech/B.Sc</li> <li>• 3+ years of overall experience with at least 2 years of relevant experience in managing Intel based Windows server</li> <li>• Total 3 years should be working as core Intel Server Engineer Administrator on Windows Platform.</li> <li>• Should be able to solve and install Intel servers. He should be well versed with DHCP, DNS, WINS SMTP, PO3 RAS VPN SAN, Cluster environment, back up etc.</li> <li>• Should be well versed with Windows clustering and virtualization.</li> <li>• Should have worked in 1 Similar Projects as Proposed Application L1 for at least one Scheduled Commercial Banks in India having more than 1000 branches</li> </ul>
<b>Wintel</b>	L2	>5 years	<ul style="list-style-type: none"> <li>• BE/B.Tech/B.Sc</li> <li>• 5+ years of overall experience with at least 2 years of relevant experience in managing Intel based Windows server</li> <li>• Total 3 years should be working as core Intel Server Engineer Administrator on Windows Platform.</li> <li>• Should be able to solve and install Intel servers. He should be well versed with DHCP, DNS, WINS SMTP, PO3 RAS VPN SAN, Cluster environment, back up etc.</li> <li>• Should be well versed with Windows clustering and virtualization.</li> <li>• Should have worked in 1 Similar Projects as Proposed Application L1 for at least one Scheduled Commercial Banks in India having more than 1000 branches</li> </ul>

Area	Role / Description	Experience	Educational Qualifications/ Certifications/Skills
IT - Security	L1	>3 years	<ul style="list-style-type: none"> <li>▪ Diploma/Engineering Graduate/Science Graduate. If a science graduate is proposed, he should have passed with a first division.</li> <li>▪ Good Communication (written/Oral)</li> <li>▪ Knowledge/expertise on IT Security Management solution like Firewall, Switch, Proxy server, Network Intrusion Prevention System etc.</li> <li>▪ Specific experience with Firewall (e.g. CISCO) and Symantec End point protection</li> <li>▪ Willing to work in 24X7 environment Should have worked in 1 similar project as L1 for at least one Scheduled Commercial Banks in India having more than 1000 branches</li> </ul>
IT - Security	L2	>5 years	<ul style="list-style-type: none"> <li>▪ Diploma/Engineering Graduate/Science Graduate. If a science graduate is proposed, he should have passed with a first division.</li> <li>▪ Good Communication (written/Oral)</li> <li>▪ Knowledge/expertise on IT Security Management solution like Firewall, Switch, Proxy server, Network Intrusion Prevention System etc.</li> <li>▪ Technical certifications like CISA etc.</li> <li>▪ Specific experience with Firewall (e.g. CISCO) and Symantec End point protection and Proxy server</li> <li>▪ Willing to work in 24X7 environment Should have worked in 2 Similar Projects as L2 for at least one Scheduled Commercial Banks in India having more than 1000 branches</li> </ul>

Please enclose documentary proofs to substantiate the claims made.

Date:

Signature with Seal .....

Name: .....

Designation :.....

## Annexure 11- Minimum Resource Deployment Plan

Resource	Location of the resource	Minimum Shift	Minimum no. of Resources Per Shift	Service Window
Program Manager (Infrastructure)	Project Office/DC	1	1	General Shift
Program Manager (Applications Management)	Project Office / SI Office	1	1	General Shift
L1- Application Management (CBS & Internet Banking and Mobile Banking)	Project Office	2	1	6AM to till CBOD
L1- Application Management (CBS & Internet Banking and Mobile Banking)	Chitradurga	2	6	9am to till ABH completion
L1- Application Management (CBS & Internet Banking and Mobile Banking)	Kannur	2	5	9am to till ABH completion
L2- Application Management (CBS & Internet Banking and Mobile Banking)	Project Office	2	3	7 AM to 10 PM (till Bank handover for Central EOD)
L1 – Server Management AIX (DC Site)	DC	3	1	24x7x365
L1 – Network Management (DR Site)	DR	3	1	24x7x365
L2 – Server Management AIX (DC)	DC	3	1	24x7x365
L2 - Server Management Unix (DC)	DC	1	1	General Shift
L1- Storage & Backup Management	DC	2	1	9 AM to backup completion
L1 -IT Security	DC	2	2	6am to 10pm
L2 - IT security	DC	1	2	General Shift
L1 – Database Management (DC Site)	DC	3	1	24x7x365
L1 – Database Management (DC Site)	DC	1	1	10 PM to 6 AM
L1 - Database Management (DR)	DR	1	1	9 AM to 7 PM
L2- Database Admin (DC Site)	DC	3	1	24x7x365
L1 – Network Management	Project	2	3	6am to 10pm

(DC Site)	Office/DC			
L1 – Network Management (DC Site)	Project Office/DC	1	1	10pm to 6am
L2 – Network Management (DC Site)	Project Office/DC	2	1	6 AM to 10 PM
L2 – Helpdesk/EMS Tools	Project Office/DC	1	1	10 AM to 6 PM
Resident Engineer at 20 Regional Offices	All ROs	1	35	10 AM to 6 PM
Desktop Engineer/Video Conferencing	Corporate Office and Project Office	1	<b>3</b>	General Shift
Wintel L1	DC	3	1	24x7X365
Wintel L2	DC	1	1	9 AM to 6 PM
Wintel L1	DR	1	1	General Shift
Other Allied Application Like AML, ALM etc. L1	Project Office	2	1	6 AM to 10 PM
Other Allied Application Like AML, ALM etc. L2	Project Office	1	1	9 AM to 10 PM

Note:-

- FM resources common to both PKGB and KGB have to work according to the working day of either of the bank; even in case of holiday of one bank, FM has to work for other bank also.
- In case of FM resources specific to each bank (like Resident Engineers, Helpdesk personnel and Call Center Agents), the respective bank's holidays will apply
- Only the Application L1 team for SFMS (NEFT and RTGS) support team are required to start at 7 AM at Project Office.
- In case there is any support required at DR during Non-Business hours it will be the responsibility of the SI to resolve the same.

Date:

Signature with Seal .....

Name: .....

Designation:.....

## **Annexure 12- Authenticity Letter**

**Sub: Undertaking of Authenticity for “Selection of System Integrator for Maintenance of Finacle Core Banking Solution, Allied Applications, Delivery Channels, Facilities Management and other services at Data Center, Disaster Recovery Center, Branches and Offices”**

Ref: Your RFP “Selection of System Integrator for Maintenance of Finacle Core Banking Solution, Allied Applications, Delivery Channels, Facilities Management and other services at Data Center, Disaster Recovery Center, Branches and Offices”

\*\*\*\*\*

With reference to the **“Selection of System Integrator for Maintenance of Finacle Core Banking Solution, Allied Applications, Delivery Channels, Facilities Management and other services at Data Center, Disaster Recovery Center, Branches and Offices”** being supplied/quoted to you vide our Invoice no/Quotation no/Order no cited above, We hereby undertake that all the components/parts/assembly/software used in the **“Selection of System Integrator for Maintenance of Finacle Core Banking Solution, Allied Applications, Delivery Channels, Facilities Management and other services at Data Center, Disaster Recovery Center, Branches and Offices”** under the above shall be original new components /parts/assembly/software only from respective OEMs of the products and that no refurbished/duplicate/second hand components/parts/assembly/software are being used or shall be used.

We also undertake that in respect of licensed operating system if asked for by you in the purchase order the same shall be supplied along with the authorized license certificate (e.g. Product Keys on Certification of Authenticity in case of Microsoft Window Operating System) and also that it shall be sourced from the authorized source (e.g. Authorized Microsoft Channel in case of Microsoft Operating System)

Should you require, we hereby undertake to produce the certificate from our OEM supplier in support of above undertaking at the time of delivery. It will be our responsibility to produce such letters from our OEM suppliers at the time of delivery or within a reasonable time.

In case of default and we are unable to comply with the above at the time of delivery or during installation, for the IT Hardware/Software already billed, we agree to take back the Servers, System Software without demur, if already supplied and return the money if any paid to us by you in this regard.

We (System OEM name) also take full responsibility of both parts and service SLA as per the content even if there is any defect by our authorized service center/Reseller/SI etc.

Date:

Signature with Seal .....

(Not less than Company Secretary of the Organization)

Name: .....

Designation:.....

## Annexure 13- Compliance Statement

**SUB: RFP for “Selection of System Integrator for Maintenance of Finacle Core Banking Solution, Allied Applications, Delivery Channels, Facilities Management and other services at Data Center, Disaster Recovery Center, Branches and Offices”**

Ref: Your Selection of System Integrator for Maintenance of Finacle Core Banking Solution, Allied Applications, Delivery Channels, Facilities Management and other services at Data Center, Disaster Recovery Center, Branches and Offices

### DECLARATION

We understand that any deviations, assumptions or exclusions mentioned elsewhere in the bid will not be considered and evaluated by the Bank. We also agree that the Bank reserves its right to reject the bid, if the bid is not submitted in proper format as per subject RFP.

Compliance	Compliance (Yes / No)	Remarks / Deviations
Terms and Conditions		
Technical Specifications		
Scope of Work		
Function and Technical Specification		
Addendums		
SLA		
Payment terms		
Project Timelines		
All annexures		

(If left blank it will be construed that there is no deviation from the specifications given above)

Date:

Signature with Seal .....

Name: .....

Designation :

## **Annexure 14- Undertaking Letter Format**

We understand that Bank shall be placing Order to the Selected Bidder exclusive of taxes only and that all applicable Taxes like CST/VST/VAT/GST/Service Tax will be paid at actual to the maximum of taxes indicated in this Bill of Material against production of invoice / bills.

We understand that Bank will pay VAT/GST only for Goods Component of Hardware/ Software and Service Taxes for Service Component of Hardware/Software. We also understand that the Goods Component + Services Component should be limited to 100% of the Cost Price.

We confirm that we have quoted for post warranty AMC rates (as per terms and conditions of the tender), giving the rates/price in our Commercial Offer.

We are agreeable to the payment schedule as per "Payment Terms" of the RFP.

Date:

Signature with Seal .....

Name: .....

Designation:.....

## Annexure 15- Escalation Matrix

Name of the Company:

Delivery Related Issues:

S.No.	Name	Designation	Full Office Address	Phone No.	Mobile No.	Fax	Email addresses
1		First Level					
2		Second level contact (If response not					
3		Regional/Zonal Head (If response not					
4		Country Head (If response not received in One week)					

Service Related Issues:

Sl. No.	Name	Designation	Full Office Address	Phone No.	Mobile No.	Fax	Email address
1		First Level					
2		Second level contact (If response not					
3		Regional/Zonal Head (If response not					
4		Country Head (If response not received in					

### Timelines for escalation

S.No.	Criticality	Time Frame
<b>1</b>	Mission Critical – First Level	0 – 10 Mins
<b>2</b>	Mission Critical – Second Level	11- 30 Mins
<b>3</b>	Mission Critical – Third Level	31 mins – 1 hrs
<b>4</b>	Mission Critical – Fourth Level	1.1 hrs – 3 hrs
<b>5</b>	Mission Critical – Fifth Level	3.1 Hrs
<b>6</b>	Key – First level	0 – 15 mins
<b>7</b>	Key – Second level	16 mins – 30 mins
<b>8</b>	Key – Third level	31 mins – 2 hrs
<b>9</b>	Key – Fourth level	2.01 hrs to 5 hrs
<b>10</b>	Key – Fifth Level	5.1 hrs
<b>11</b>	Significant – First Level	0- 2 hrs
<b>12</b>	Significant – Second Level	2.01- 4 hrs
<b>13</b>	Significant – Third Level	4.01 hrs – 8 hrs
<b>14</b>	Significant – Fourth Level	8.01 hrs – 48 hrs
<b>15</b>	Significant – Fifth Level	48.01 hrs – 60 hrs
<b>16</b>	<b>Significant – Six Level</b>	60.01 hrs

Any change in designation, substitution will be informed by us immediately.

Date:

Signature with Seal .....

Name: .....

Designation:.....

## **Annexure 16- Manufacturer's Authorization Form (MAF)**

Manufacturer/ Authorized Distributor in India Authorization Form

[Note: This format letter should be on letterhead of the manufacturing concern/ Distributor and should be signed by an Authorized Signatory of the manufacturer/ Authorized Distributor. This format is for reference only. However, should contain para 1, 2, 3]

Date:

The General Manager,

Pragathi Krishna Gramin Bank,

Head Office, IT Department, 32, Sanganakal Road, Gandhinagar, Ballari -583103 Karnataka State

Dear Sir,

SUB: RFP for "Selection of System Integrator for Maintenance of Finacle Core Banking Solution, Allied Applications, Delivery Channels, Facilities Management and other services at Data Center, Disaster Recovery Center, Branches and Offices"

We \_\_\_\_\_ who are established and reputed manufacturers of \_\_\_\_\_ having factories/development facilities at **1)**\_\_\_\_\_and **2)**\_\_\_\_\_do hereby authorize M/s \_\_\_\_\_(Name and address of the Agent/Dealer) to offer their quotation, negotiate and conclude the contract with you against the above invitation for tender offer.

We (Manufacturer/Indian Distributor) hereby extend our full guarantee and warranty as per terms and conditions of the tender and the contract for the solution, products/equipment and services offered against this invitation for tender offer by the above firm and will extend technical support and updates for our products for contract period from the date of submission of this tender.

We (Manufacturer/Indian Distributor) also confirm that we will ensure all product upgrades (i n c l u d i n g management software upgrades and new product feature releases) are provided by M/s .....for all the products quoted for and supplied to the bank during the three year product warranty period. In case this is not considered while quoting and in the event M/s ..... fail in their obligations to provide the upgrades within 30 days of release/announcement, we hereby confirm that we will provide the same to the bank at no additional cost to the bank and we will directly install the updates and upgrades and any new product releases at the Bank's premises.

Yours faithfully

Date:

Signature with Seal .....

Name: .....

Designation:.....

## **Annexure 17- Certificate of Good Governance and Project Management**

[Note: This Covering letter should be on the letter head of Customer duly signed with Name and Seal of the Company]

The General Manager, Pragathi  
Krishna Gramin Bank,  
Canara Bank RRB CBS Project Office,  
LIC "Jeevan Soudha" Building, First Floor,  
19/19, 24<sup>th</sup> Main Road, 1st Phase, J P Nagar,  
Bengaluru -560 078

Dear Sir,

REF: RFP No - xx for "Selection of System Integrator for Maintenance of Finacle Core Banking Solution, Allied Applications, Delivery Channels, Facilities Management and other services at Data Center, Disaster Recovery Center, Branches and Offices"

Subject :- Certificate of Good Governance and Project management

This is to certify that we have engaged M/s -----(Bidder Name) as a System Integrator for managing (Requirement gathering, Designing, Configuration, Project Management) Core Banking Solution and allied applications with related infrastructure from last -----(No of years). The Project Management methodology and Project governance performance by the Bidder is found satisfactory.

Yours faithfully

Date:

Signature with Seal .....

Name: .....

Designation:.....

## Annexure 18- Background Verification Form

Photograph

S.no	Particulars	
1	Full Name (Mr./Mrs.)	
2	Passport / Pan NO	
3	Address	
	Office	
	Tel NO	
	Residence	
4	Experience	
	Years	
	Employer	
	Designation	
5	Skill Set	
6	Any other relevant Information	

Place  
Date

Signature

We, hereby, confirm that we have performed the background checking, police verification and KYC verification on \_\_\_\_\_, for the above resource deployed in the Bank's premises.

Signature with Seal .....

Name: .....

Designation:

## **Annexure 19- Covering Letter format for Commercial Bid**

[Note: This Covering letter should be on the letter head of Bidder and should be signed by an Authorized Signatory with Name and Seal of the Company]

Reference No.:

Date:

The General Manager, Pragathi  
Krishna Gramin Bank,  
Canara Bank RRB CBS Project Office,  
LIC "Jeevan Soudha" Building, First Floor,  
19/19, 24<sup>th</sup> Main Road, 1st Phase, J P Nagar,  
Bengaluru -560 078

Dear Sir,

SUB: RFP for "Selection of System Integrator for Maintenance of Finacle Core Banking Solution, Allied Applications, Delivery Channels, Facilities Management and other services at Data Center, Disaster Recovery Center, Branches and Offices"

We thank you for providing us an opportunity to participate in the subject RFP. Please find our commercial offer as per **ANNEXURE- 19** Commercial bid format of the subject RFP along with this covering letter.

We also confirm that we are agreeable to the payment schedule mentioned in the subject RFP.

Dated this \_\_\_\_\_ day of \_\_\_\_\_ 2018

Date:

Signature with Seal .....

Name: .....

Designation:.....

## **Annexure 20- Bill of Material**

**Bidder needs to submit the masked bill of material with technical bid and indicative bill of material with commercial bid**

**The format for Functional and Technical Requirements is attached separately as a file “Annexure 20-Bill of Material” with the hard copy of the RFP document**

## **APPENDICES**

### **Appendix A**

#### **Instructions to be noted while preparing/submitting Part A- Conformity to Eligibility Criteria**

The Proposal should be made in an organized, structured, and neat manner. Brochures / leaflets etc. should not be submitted in loose form. All the pages of the submitted bids should be filed and paginated (serially numbered) with seal and signature of the authorized signatory.

1. Index of all the document submitted with page numbers.
2. Cost of Tender document by way of DD payable at Ballari
3. Earnest Money Deposit (EMD)/Bank Guarantee in lieu of EMD.
4. Power of Attorney / Authorization letter signed by the Competent Authority with the seal of the Bidder's company / firm in the name of the person signing the tender documents.
5. Checklist as per ANNEXURE - 1
6. Bidder's Covering letter as per ANNEXURE -2
7. Eligibility Criteria declaration as per ANNEXURE -3 with documentary proof in support of the Eligibility Criteria.
8. Profile of the Company / Firm as per ANNEXURE -4
9. Details of Offices / Branches/service centers as per ANNEXURE- 5.
10. Company Track record as per Annexure 7
11. Non-Disclosure Agreement as per ANNEXURE -8

## **Appendix B**

### **Instructions to be noted while preparing/submitting Part B- Technical Proposal**

The Technical Proposal should be made in an organized, structured, and neat manner. Brochures / leaflets etc. should not be submitted in loose form. All the pages of the submitted bids should be filed and paginated (serially numbered) with seal and signature of the authorized signatory. Technical Offer for this RFP shall be made as under:

1. Index of all the document submitted with page numbers.
2. Technical Bid Covering Letter as per Annexure -9.
3. Proposed team Profile for Implementation and Substance Phase as per Annexure 10
4. Resource Deployment Plan as per Annexure 11
5. Compliance to Technical specifications should be complete with all the columns filled in as per Annexure -17.
6. Undertaking of Authenticity as per Annexure – 12.
7. Compliance Statement as per Annexure -13.
8. Under Taking Letter as per Annexure – 14.
9. Escalation Matrix as per Annexure – 15.
10. Manufacture / Authorized Distributor in India Authorization Form as per Annexure -16.
11. Masked price bid of Bill of Material as per Annexure -20.
12. Storage Augmentation as per Annexure 18
13. Technical Documentation (Product Brochures, leaflets, manuals, drawings).

## **Appendix C**

### **Instruction to be noted while preparing/submitting Part C-Commercial Bid**

The commercial Bid should be made in an organized, structured, and neat manner. Brochures / leaflets etc., should not be submitted in loose form. All the pages of the submitted bids should be filed and paginated (serially numbered) with seal and signature of the authorized signatory.

The suggested format for submission of commercial Offer for this RFP is as follows:

1. Bidder's Covering letter as per ANNEXURE -19.
2. Commercial Version of Bill of Materials as per ANNEXURE -20.

## Appendix D

### Proforma of Bank Guarantee for Contract Performance

(To be submitted on Non-Judicial stamp paper of appropriate value Purchased in the name of the issuing Bank)

To: Name and Address of the PURCHASER

-----  
-----  
-----

WHEREAS \_\_\_\_\_ (Name and address of the selected Bidder) (hereinafter referred to as "the CONTRACTOR") has undertaken to supply, transportation, transit insurance, local delivery, storage and installation and maintenance and also includes documentation, warranty, annual maintenance, if contracted, of Undertaking of Authenticity for Selection of System Integrator for Maintenance of Finacle Core Banking Solution, Allied Applications, Delivery Channels, Facilities Management and other services at Data Center, Disaster Recovery Center, Branches and Offices as per the Purchase Order dated \_\_\_\_ placed by the PURCHASER with you (hereinafter referred to as "the CONTRACT" )

AND WHEREAS in terms of the Conditions as stipulated in the Purchase Order, the CONTRACTOR is required to furnish, a Bank Guarantee by way of Performance Guarantee, issued by a Scheduled commercial Bank in India, in your favor, as per Clause \_\_\_\_\_ of the Purchase Order, to secure due and satisfactory compliance of the obligations by the CONTRACTOR on their part, in accordance with the CONTRACT, (which guarantee is hereinafter called as "the PERFORMANCE GUARANTEE")

AND WHEREAS the CONTRACTOR has approached us, (Name of the issuing Bank) for providing the PERFORMANCE GUARANTEE,

AND WHEREAS in consideration of the fact that the CONTRACTOR is our valued constituent and the fact that he has entered into the CONTRACT with you, WE (Name of the Bank) having our Registered Office at, \_\_\_\_\_ and local office at \_\_\_\_\_, India have agreed to issue the PERFORMANCE GUARANTEE,

THEREFORE WE (Name of the issuing Bank) through our local office at \_\_\_\_\_ India furnish you the PERFORMANCE GUARANTEE in manner hereinafter contained and agree with you as follows:

We (Name of the issuing Bank), undertake to indemnify you and keep you indemnified from time to time to the extent of Rs. \_\_\_\_\_ (Rupees \_\_\_\_\_) an amount equivalent to 10% of the Contract Price against any loss or damage caused to or suffered by or that may be caused to or suffered by you on account of any breach or breaches on the part of the CONTRACTOR of any of the terms and conditions contained in the Contract and in the event of the CONTRACTOR default or defaults in carrying out any of the work or discharging any obligation in relation thereto under the CONTRACT or otherwise in the observance and performance of any of the terms and conditions relating thereto in accordance with the true intent and meaning thereof, we shall forthwith on demand pay to you such sum or sums not exceeding the sum of Rs. \_\_\_\_\_

(Rupees \_\_\_\_\_) may be claimed by you on account of breach on the part of the CONTRACTOR of their obligations in terms of the CONTRACT.

Notwithstanding anything to the contrary we agree that your decision as to whether the CONTRACTOR has made any such default or defaults and the amount or amounts to which you are entitled by reasons thereof will be binding on us and we shall not be entitled to ask you to establish your claim or claims under Performance Guarantee but will pay the same forthwith on your demand without any protest or demur.

This Performance Guarantee shall continue and hold good until it is released by you on the application by the CONTRACTOR after expiry of the relative guarantee period of the Contract and after the CONTRACTOR had discharged all his obligations under the Contract and produced a certificate of due completion of the work under the Contract and submitted a "No Demand Certificate" provided always that the guarantee shall in no event remain in force after the day of \_\_\_\_\_ without prejudice to your claim or claims arisen and demanded from or otherwise notified to us in writing before the expiry of three months from the said date which will be enforceable against us notwithstanding that the same is or are enforced after the said date.

Should it be necessary to extend Performance Guarantee on account of any reason whatsoever, we undertake to extend the period of Performance Guarantee on your request under intimation to the CONTRACTOR till such time as may be required by you. Your decision in this respect shall be final and binding on us.

You will have the fullest liberty without affecting Performance Guarantee from time to time to vary any of the terms and conditions of the Contract or extend the time of performance of the Contract or to postpone any time or from time to time any of your rights or powers against the CONTRACTOR and either to enforce or forbear to enforce any of the terms and conditions of the Contract and we shall not be released from our liability under Performance Guarantee by the exercise of your liberty with reference to matters aforesaid or by reason of any time being given to the CONTRACTOR or any other forbearance, act, or omission on your part or any indulgence by you to the CONTRACTOR or by any variation or modification of the Contract or any other act, matter or things whatsoever which under law relating to sureties, would but for the provisions hereof have the effect of so releasing us from our liability hereunder provided always that nothing herein contained will enlarge our liability hereunder beyond the limit of Rs. \_\_\_\_\_ (Rupees \_\_\_\_\_) as aforesaid or extend the period of the guarantee beyond the said day of \_\_\_\_\_ unless expressly agreed to by us in writing.

The Performance Guarantee shall not in any way be affected by your taking or giving up any securities from the CONTRACTOR or any other person, firm or company on its behalf or by the winding up, dissolution, insolvency or death as the case may be of the CONTRACTOR.

In order to give full effect to the guarantee herein contained, you shall be entitled to act as if we were your principal debtors in respect of all your claims against the CONTRACTOR hereby guaranteed by us as aforesaid and we hereby expressly waive all our rights of surety ship and other rights, if any, which are in any way inconsistent with any of the provisions of Performance Guarantee.

Subject to the maximum limit of our liability as aforesaid, Performance Guarantee will cover all your

claim or claims against the CONTRACTOR from time to time arising out of or in relation to the Contract and in respect of which your claim in writing is lodged on us before expiry of three months from the date of expiry of Performance Guarantee.

Any notice by way of demand or otherwise hereunder may be sent by special courier, telex, fax or registered post to our local address as aforesaid and if sent by post it shall be deemed to have been given when the same has been posted.

The Performance Guarantee and the powers and provisions herein contained are in addition to and not by way of limitation of or substitution for any other guarantee or guarantees heretofore given to you by us (whether jointly with others or alone) and now existing un-cancelled and that Performance Guarantee is not intended to and shall not revoke or limit such guarantee or guarantees.

The Performance Guarantee shall not be affected by any change in the constitution of the CONTRACTOR or us nor shall it be affected by any change in your constitution or by any amalgamation or absorption thereof or therewith but will endure to the benefit of and be available to and be enforceable by the absorbing or amalgamated company or concern.

The Performance Guarantee shall come into force from the date of its execution and shall not be revoked by us any time during its currency without your previous consent in writing.

We further agree and undertake to pay you the amount demanded by you in writing irrespective of any dispute or controversy between you and the CONTRACTOR.

Notwithstanding anything contained herein

- i. Our liability under this guarantee shall not exceed Rs. \_\_\_\_\_  
(Rupees \_\_\_\_\_ only)
- ii. This guarantee shall be valid up to \_\_\_\_\_ and ;
- iii. We are liable to pay the guaranteed amount or any part thereof under this guarantee only and only if you serve upon us a written claim or demand at Bengaluru on or before \_\_\_\_\_ (mention period of the guarantee as found under clause ii. above plus claim period).

We have the power to issue Performance Guarantee in your favor by statute and the undersigned has full power to execute Performance Guarantee under the Power of Attorney to him by the Bank.

Dated this \_\_\_\_\_ day of \_\_\_\_\_ 2018

For and on behalf of  
BRANCH MANAGER  
SEAL  
ADDRESS

## Appendix E

### BANK GUARANTEE FORMAT FOR EARNEST MONEY DEPOSIT

To:

-----  
-----

WHEREAS \_\_\_\_\_ (Name of Tenderer) (hereinafter called "the Tenderer" has submitted its tender dated \_\_\_\_\_ (Date) for the execution of (Name of Contract) \_\_\_\_\_ (hereinafter called "the Tender") in favor of \_\_\_\_\_ hereinafter called the "Employer";

KNOW ALL MEN by these presents that we, \_\_\_\_\_ (name of the issuing Bank), a body corporate constituted under the \_\_\_\_\_ having its Head Office at \_\_\_\_\_ amongst others a branch/office at \_\_\_\_\_ (hereinafter called "the Bank" are bound unto the employer for the sum of Rs. \_\_\_\_\_ (Rupees \_\_\_\_\_ only) for which payment well and truly to be made to the said Employer, the Bank binds itself, its successors and assigns by these presents;

THE CONDITIONS of this obligation are:

- (a) If the Tenderer withdraws its Tender during the period of Tender validity specified in the Tender; or
- (b) If the Tenderer having been notified of the acceptance of his Tender by the Employer during the period of Tender validity;
  - i) fails or refuses to execute the Agreement, if required; or
  - ii) Fails or refuses to furnish the performance security, in accordance with clause \_\_\_\_\_ of conditions of Contract.

We undertake to pay to the Employer up to the above amount upon receipt of his first written demand without the Employer having to substantiate his demand, provided that in his demand the Employer will note that the amount claimed by him is due to him owing to the occurrence of one or both of the two conditions, specifying the occurred condition or conditions.

Notwithstanding anything contained herein

- i) Our liability under this Bank Guarantee shall not exceed Rs. \_\_\_\_\_ (Rupees \_\_\_\_ only)
- ii) This Guarantee is valid up to \_\_\_\_\_ and
- iii) We are liable to pay the guaranteed amount or any part thereof under this Bank Guarantee only and only if you serve upon us a written claim or demand on or before \_\_\_\_\_ (mention period of guarantee as found under clause (ii) above plus claim period)

Dated: \_\_\_\_\_

Day of: \_\_\_\_\_ 2018

Signature of the Bank

## Appendix F

### Format for Bank Guarantee for Advance Warranty Payment

(To be submitted on Non-Judicial Stamp Paper of appropriate value purchased in the name of the Issuing Bank)

To:

-----  
-----

WHEREAS

(Name and Address of M/s \_\_\_\_\_ Ltd) ( hereinafter referred to as “our constituent: which expression includes its successors and assigns ) entered into an agreement dated ----- with you for supply, Transportation transit insurance, local delivery, commissioning and integration, acceptance testing and also includes documentation, warranty, annual maintenance, if interacted, and training of your personnel related to High Definition video conference solution (hereinafter referred to as “ the said Agreement”)

In terms of clause no. ----- of the said agreement, our constituent is required to furnish a Bank guarantee to secure our constituent’s undertaking to comply with the contractual obligations in relation to warranty for a sum of Rs. \_\_\_\_\_ (Rupees ----- Only) being 10% of the total consideration so as to enable you to release the equivalent amount to our constituent being 10% of the total consideration payable after the expiry of the warranty period of 5 years that is -----

----- From the date of acceptance of the project i.e. -----.

#### **Now this letter of Guarantee witnessed:**

That is consideration of your agreeing at the request of our constituent to release a sum of Rs.-----

-(Rupees.-----only) being 10% of the total consideration amount to our constituent, we (name of the issuing Bank), do hereby agree and undertake that in the event of our constituent committing breach of any of the undertakings or committing default in fulfilling any obligation arising out of the said agreement, we (Name of the issuing bank) shall on demand pay you without any demur Rs. ----- (Rupees. -----Only)

We further agree that,

1. We will make the payment of the said amount pursuant to the demand made by you, notwithstanding any objections or dispute that may exist or arise between you and our constituent or any other person.
2. Your demand on us shall be deemed as the final proof of breach of any undertaking or default of the contractual obligation on the part our constituent.
3. This Guarantee shall be irrevocable and shall not be discharged except by payment or by absence of demand by you on or before .....
4. Our liability under this guarantee shall be restricted to Rs. ----- (Rupees ----- only)
5. Our Liability under this guarantee shall cease to exist unless a demand is made by you on or before -----

We further agree that, exercise of any of your right against our constituent to enforce or forbear to enforce or any other indulgence or facility extended to our constituent would not release liability under this guarantee, and that your right against us shall remain in full force and effect, notwithstanding any arrangement that may be entered into between you and our constituent.

Notwithstanding anything contained herein:

- I. Our liability under this guarantee shall not exceed Rs. ----- (Rupees----- only)
- II. This Guarantee shall be valid up to----- and;
- III. We are liable to pay the guaranteed amount or any part thereof under this Guarantee only and only if you serve upon us a written claim or demand at -----(Place ) on or before --  
----- (mention period of the Guarantee as found under clause (ii) above plus claim Period)

Dated this -----day of -----2018

For and on behalf of

Branch Manager SEAL

Address

Place:

## **Appendix G**

### Location Details:

Proposed Locations for “Selection of System Integrator for Maintenance of Finacle Core Banking Solution, Allied Applications, Delivery Channels, Facilities Management and other services at Data Center, Disaster Recovery Center, Branches and Offices”

#### **Canara Bank RRB DC,**

ITI Data Center, F-21,

North Block Gate No.5,

ITI Ltd. Dooravani Nagar, K.R.Puram,

Bengaluru - 560016

Phone: 080-25667077 / 0949632845

#### **Canara Bank RRB DRC**

Techno polis Knowledge Park, TATA internet

Building, Canara Bank RRB, 2nd floor,

Mahakali Caves Road, Chakala,

Andheri (E), Mumbai-400093

Phone: 022-26871770

Contact Person: Pradeep Patil (98190 63069)

## Appendix H

### Format for Sending Pre-Bid Queries

S.No.	Pg. No. of RFP	Clause No.	RFP Clause	Bidder's Query

## **Appendix I**

### **BUSINESS RULES AND TERMS & CONDITIONS OF REVERSE AUCTION**

Reverse Auction event will be carried out among the Technically Qualified Bidders, for providing opportunity to the Bidders to quote the price dynamically for the procurement for which RFP is floated

#### **A) Definitions:**

1. "Bank's" means Pragathi Krishna Gramin Bank and Kerala Gramin Bank
2. "Service Provider" means the third-party agency / company who have been selected by the Bank for conducting Reverse Auction. [M/s e-Procurement Technologies Ltd (abcprocure),]
3. "L1" means the Bidder who has quoted lowest price in the Reverse Auction process.
4. "L2" means the Bidder who has quoted second lowest price in the Reverse Auction process.

#### **B) Eligibility of Bidders to participate in Reverse Auction:**

1. Bidders who are technically qualified in terms of the relative Terms & Conditions of the RFP and accept the Business Rules, Terms & conditions of Reverse Auction and submit the undertakings as per **APPENDIX-J(1)**, can only participate in Reverse Auction related to the procurement for which RFP is floated. Bidders not submitting the above undertaking or submitting with deviations / amendments there to, will be disqualified from further evaluation / participation in the process of relevant procurement.
2. Bidders should ensure that they have valid digital certificate well in advance to participate in the Reverse Auction. Bank and / or Service Provider will not be responsible in case Bidder could not participate in Reverse Auction due to non-availability of valid digital certificate.

#### **C) Training:**

1. Selected vendors shall coordinate with our Bank/Our Service Provider M/s e- Procurement Technologies Ltd (abcProcure) for getting necessary details and reverse auction demos before commencement of live reverse auction process. Else, Bidder not getting the required clarification / demos will do so at his own risk. The service provider for Reverse Auction and their contact details shall be shared with the selected bidders.

#### **D) Reverse Auction Schedule:**

1. The date & time of start of Reverse Auction and its duration of time will be informed to the eligible Bidders well in advance before the Reverse Auction date.
2. Bank reserves the right to postpone / change / cancel the Reverse Auction event even after its communication to Bidders without assigning any reasons therefor.

**E) Bidding Currency:**

Bidding will be conducted in Indian Rupees (INR).

**F) Start Price:**

Bank will determine the Start Price for Reverse Auction –

1. On its own and / or
2. Evaluating the price band information called for separately from each eligible Bidder at appropriate time and / or
3. Based on the price bids received and if opened, Bank may determine the start price on the basis of the lower quote received.

**G) Decremental Bid Value:**

1. The bid decrement value will be specified by Bank before the start of Reverse Auction event. It can be a fixed amount or percentage of Start Price or both.
2. Bidder is required to quote his bid price only at a decremental value.
3. Bidder need not quote bid price at immediate next available lower level, but it can be even at 2/3/4 ..... Level of next available lower level.

**H) Conduct of Reverse Auction event:**

1. Reverse Auction will be conducted on a specific web portal meant for this purpose with the help of the Service Provider identified by the Bank. [M/s e-Procurement Technologies Ltd (abcProcure)]
2. Service Provider will make all necessary arrangement for fair and transparent conduct of Reverse Auction like hosting the web portal, imparting training/demo to eligible Bidders etc., and finally conduct of Reverse Auction.
3. Bidders will be participating in Reverse Auction event from their own office / place of their choice. Internet connectivity and other paraphernalia requirements shall have to be ensured by Bidder themselves.
4. Bank and / or Service Provider will not have any liability to Bidders for any interruption or delay in access to site of Reverse Auction irrespective of the cause.
5. For making the process of Reverse Auction and its result legally binding on the participating Bidders, Service Provider will enter into an agreement with each eligible Bidder, before the start of Reverse Auction event. Without this Bidder will not be eligible to participate in the event. The format of the agreement is as per the **APPENDIX–J (3)**.
6. Bidders name will be masked in the Reverse Auction process and will be given random dummy names by the Service Provider.
7. Bidder / his authorized representatives will be given unique Login ID & Password by Service Provider. Bidder/his authorized representative will change the Password after the receipt of initial Password from Service Provider to ensure confidentiality. All bids made from the Login ID given to the Bidders will be deemed to have been made by the concerned Bidder/his company.
8. Reverse auction will be conducted as per English Reverse Auction with no tie where more than

one Bidder cannot have identical bid price.

9. Any bid once made by the Bidder through registered Login ID & Password, the same cannot be cancelled. The Bidder is bound to supplies as per the RFP at the bid price of Reverse Auction.
10. Reverse Auction will normally, be for a period of one hour. If a Bidder places a bid price in last 10 minutes of closing of the Reverse auction, the auction period shall get extended automatically for another 10 minutes. Maximum 3 extensions each of 10 minutes will be allowed after auction period of 1 hour i.e. entire process can last maximum for 1 ½ hour only. In case there is no bid price in the last 10 minutes of closing of Reverse Auction, the auction shall get closed automatically without any extension.
11. (The time period of Reverse Auction & Maximum number of its extensions & time are subject to change and will be advised to eligible Bidders before the start of the Reverse Auction event.)
12. Bidder will be able to view the following on their screen along with the necessary fields in Reverse Auction:
  - i) Opening Price
  - ii) Leading / Lowest Bid Price in Auction (only total price)
  - iii) Last Bid Price placed by the respective Bidder.
13. During Reverse Auction, if no bid price is received within the specified time, Bank, at its discretion, may decide to revise Start Price / Decremental Value / scrap the reverse auction process / proceed with conventional mode of tendering.

#### **I) Reverse Auction Process:**

1. At the end of Reverse Auction Event Service Provider will provide the Bank all necessary details of the bid prices and reports of Reverse Auction.
2. Upon receipt of above information from Service Provider, Bank will evaluate the same and will decide upon the winner i.e. Successful Bidder.
3. Successful Bidder has to fax the duly signed filled-in prescribed format **APPENDIX -J (2)** as provided on case-to-case basis to Bank within 4 hours of Reverse Auction without fail. The Original signed **APPENDIX-J (2)** should be couriered so as to reach us within 48 hours of Reverse Auction without fail.
4. Any variation between the on-line Reverse Auction bid price and signed document will be considered as sabotaging the tender process and will invite disqualification of Bidder/vender to conduct business with Bank as per prevailing procedure.
5. Successful Bidder has to give break-up of his last/lowest bid price as per Bill of Material at the end of Reverse auction event within 3 working days without fail.
6. Successful Bidder is bound to supply at their final bid price of Reverse Auction. In case of back out or not supply as per the rates quoted, Bank will take appropriate action against such Bidder and / or forfeit the Bid Security amount, debar him from participating in future
7. In case Bank decides not to go for Reverse Auction related to the procurement for which RFP is floated and price bids if any already submitted and available with Bank shall be opened as per Bank's standard practice.

**J) Bidder's Obligation:**

1. Bidder will not involve himself or any of his representatives in Price manipulation of any kind directly or indirectly with other suppliers / Bidders
2. Bidder will not divulge either his Bid details or any other details of Bank to any other party without written permission from the Bank.

**K) Change in Business Rules, Terms & Conditions of Reverse Auction:**

1. Bank reserves the right to modify / withdraw any of the Business rules, Terms & conditions of Reverse Auction at any point of time.
2. Modifications of Business rules, Terms & conditions of Reverse Auction will be made available on website immediately.
3. Modifications made during the running of Reverse Auction event will be advised to participating Bidders immediately.

## **Appendix J (1)**

**(To be submitted on company letter head by all Bidders participating in Reverse Auction)**

To,

Pragathi Krishna Gramin Bank,  
Canara Bank RRB CBS Project Office,  
LIC "Jeevan Soudha" Building, First Floor,  
19/19, 24<sup>th</sup> Main Road, 1st Phase, J P Nagar,  
Bengaluru -560 078

**Acceptance of Reverse Auction Business Rules and Terms & conditions in respect of Tender / RFP Ref.  
No.\_\_\_\_Dated\_\_**

1. The undersigned is our authorized representative.
2. We have accepted and abide by all Terms of captioned Tender documents and Business Rules and Terms & conditions of Reverse Auction for the procurement for which RFP is floated.
3. Bank and Service Provider shall not be liable & responsible in any manner whatsoever for my / our failure to access & bid in Reverse Auction due to loss of internet connectivity, electricity failure, virus attack, problems with the PC, any other unforeseen circumstances etc. before or during the auction event.
4. We understand that in the event we are not able to access the auction site, we may authorize Service Provider to bid on our behalf by sending a fax containing our offer price before the auction close time and no claim can be made by us on either Bank or Service Provider regarding any loss etc. suffered by us due to acting upon our authenticated fax instructions.
5. I / We do understand that Service Provider may bid on behalf of other Bidders as well in case of above mentioned exigencies.
6. We also confirm that we have a valid digital certificate issued by a valid Certifying Authority.
7. We will participate in Reverse Auction conducted by (name of Service Provider) and agree to enter into an agreement with him (Service Provider) for making the process of Reverse Auction and its result legally binding on us.
8. We will fax duly signed filled-in prescribed format (APPENDIX J (2)) as provided on case-to-case basis, to Bank within 24 hours of end of Reverse Auction without fail.
9. We will give break-up of our last / lowest bid price as per Bill of Material at the end of Reverse Auction event within 48 hours without fail.
10. We undertake to supply at our final lowest bid price of Reverse Auction. In case of back out or not supply as per the rates quoted by us, Bank is free to take appropriate action against us and / or forfeit the Bid Security amount, debar us from participating in future tenders.
11. We nominate our official Shri. \_\_\_\_\_ (Designation) \_\_\_\_\_ of our company to participate in Reverse Auction. We authorize Bank to issue USER ID & PASSWORD to him. His official e-mail & contact number are as under.

Signature with Company seal:

Name of our Authorized Representative:

Designation:

E-mail:

Mobile:

Tel No.:

Fax No.:

## Appendix J (2)

(To be submitted / faxed by Successful Bidder of Reverse Auction within 24 hours from the end of Reverse Auction event)

To,

Pragathi Krishna Gramin Bank,  
Canara Bank RRB CBS Project Office,  
LIC "Jeevan Soudha" Building, First Floor,  
19/19, 24<sup>th</sup> Main Road, 1st Phase, J P Nagar,  
Bengaluru -560 078

Date:

Sir,

Final / Lowest Bid Price quoted in Reverse held on \_\_\_\_\_ in respect of Tender / RFP Ref.

No. \_\_\_\_\_ Dated \_\_\_\_\_ For procurement of

\_\_\_\_\_

We confirm that the final total bid price quoted by us in the captioned Reverse Auction event for captioned tender is as under – Rs. ( in figure) :

\_\_\_\_\_Rs. (in words) :

We confirm that –

1. We enclose herewith the detailed break-up of above price as per Bill of Material OR [ ] We undertake to give detailed break-up of above bid price as per Bill of Material within 48 hours from the end-of Reverse Auction event.
2. Any variation between the on-line Reverse Auction bid price quoted by us and this document will be considered as sabotaging the tender process and will invite disqualification of Bidder/vender to conduct business with Bank as per prevailing procedure. In such case Bank is free to take appropriate action and / or forfeit the Bid Security amount and / or debar him from participating in future
3. We are bound to supply at the above final bid price of Reverse Auction.
4. We note that in case of back out or not supply as per the above rates quoted by us, Bank will take appropriate action against us and / or forfeit our Bid Security amount and / or debar him from participating in future

Signature with company seal:

Name of Authorized Representative:

Designation:

Email:

Mobile:

Tel. No:

Fax No:

## Appendix J (3)

### Process Compliance Form

**(The Bidders are required to print this on their company's letter head and sign, stamp before faxing to Service Provider)**

To

(Name& Address of Service Provider)

Sub: Agreement to the Process Related Terms and Conditions for the Reverse Auction

Dear Sir,

This has reference to the Terms & Conditions for the Reverse Auction mentioned in the Tender document for Selection of System Integrator for Maintenance of Finacle Core Banking Solution, Allied Applications, Delivery Channels, Facilities Management and other services at Data Center, Disaster Recovery Center, Branches and Offices against the RFP/Tender No \_\_\_\_\_. This letter is to confirm that:

1. The undersigned is authorized representative of the company.
2. We have studied the Commercial Terms and the Business rules governing the Reverse Auction and the RFP as mentioned in your letter and confirm our agreement to them.
3. We also confirm that we have taken the training on the auction tool and have understood the functionality of the same thoroughly.
4. We confirm that (Bank) and \_\_\_\_ (Service Provider) shall not be liable & responsible in any manner whatsoever for my/our failure to access & bid on the e-auction platform due to loss of internet connectivity, electricity failure, virus attack, problems with the PC, any other unforeseen circumstances etc. before or during the auction event.
5. We understand that in the event we are not able to access the auction site, we may authorize \_\_\_\_ (Service Provider) to bid on our behalf by sending a fax containing our offer price before the auction close time and no claim can be made by us on either (Bank) or \_\_\_\_ (Service Provider) regarding any loss etc. suffered by us due to acting upon our authenticated fax instructions.
6. I/we do understand that \_\_\_\_ (Service Provider) may bid on behalf of other Bidders as well in case of above mentioned exigencies.
7. We also confirm that we have a valid digital certificate issued by a valid Certifying Authority.
8. We also confirm that we will fax the price confirmation & break up of our quoted price as per **APPENDIX-J (2)** as requested by \_\_\_\_ (Bank) / \_\_\_\_ (Service Provider) within the stipulated time.

We, hereby confirm that we will honor the Bids placed by us during the auction process.

With regards

Signature with company seal Name – Company / Organization – Designation

within Company / Organization –

Address of Company / Organization –

## **Appendix K**

### **Bank's Current Volume & Projections**

This appendix contains confidential information of the Bank's infrastructure, therefore the interested Bidder can purchase the same from the RRB Project Office after submitting the Tender Document fee of Rs.50,000 (Fifty Thousand only) plus Rs. 9,000/- (GST @ 18%).

**Note:**

**The prospective Bidder has to protect the Bank's investment wherever possible by reutilizing the existing hardware, software, licenses for setting up production, test, development and training setup. Appendix K document has to be read in conjunction with the scope, terms and conditions of the RFP.**

## Appendix L

S.no	Report Name	Phase	Report Status	Tower	Description
		Transition, Steady State, Both			
1	Utilization-hardware	B	Daily	Monitoring & Operations	All in scope servers, storage, network, tape and other in scope hardware utilization
2	Availability Report	B	Daily	Monitoring & Operations	Daily Availability report of in scope infrastructure & services
3	Batch job counts and failures	B	Monthly	Monitoring & Operations	Production support
4	Capacity Planning	B	Weekly	Monitoring & Operations	Resource issues, performance problems
5	Hardware Issues	B	Weekly	Monitoring & Operations	Hardware failure analysis, trending
6	Patching	B	Monthly	Monitoring & Operations	Monthly description of newly released patches
7	Vulnerabilities	B	Weekly	Monitoring & Operations	Description of newly released works, viruses, vulnerabilities
8	Daily issues report	B	Daily	Monitoring & Operations	List of daily application and server issues / outages
9	Recurring issues report	B	Weekly	Monitoring & Operations	List of recurring application and server issues / outages
10	Monthly Infrastructure Capacity & Planning Report	B	Monthly	Monitoring & Operations	Monthly report reporting and analyzing infrastructure capacity and performance
11	Transition Status Report	T	Weekly	Project Office	Describes the progress of the transition activities at a program level
12	Domain Wide Transition Status Report	T	Weekly	Project Office	Describes the progress of the transition activities at a domain level
13	Transition Risk assessment report	T	Weekly	Project Office	Articulates risk's and mitigation strategy
14	Training Reports	B	Monthly	Project Office	Monthly training status for Bank's users

S.no	Report Name	Phase	Report Status	Tower	Description
15	Escalation Reports	B	Weekly	Project Office	Articulates escalated events over the past week, the status, and the outcome for resolved issues
16	Issues Management	B	Monthly	Project Office	Report of all major issues which require escalation beyond the project and delivery teams.
17	Regulatory compliance reports	B	Quarterly	Project Office	Depicts the state of audit readiness
18	Audit Report	B	Quarterly	Project Office	Non Conformances identified and Action Items identified with deadlines
19	Status Report	B	Weekly	Project Office	Weekly status report by program and domain
	-Program Level				
	-Project Level				
20	Metrics and SLA Report - Program Level <b>Domain Level</b>	B	Monthly	Project Office	Program level and Domain level SLA reports
21	SLA Performance credits and performance report	B	Monthly	Project Office	Report showing the SLA credits and performance
22	Senior Management Reports (Metrics, SLA, Utilization, Performance Improvements)	B	Monthly	Project Office	Monthly SR. MGT report showing past performance, Systematic Improvement Plan Reports, DASHBOARDS
23	Detailed Escalation Reports	B	Quarterly	Project Office	All long calls which are pending from long time with their escalation
24	EMS Dashboard Report	B	Monthly	Monitoring & Operations	Report and analyze monitoring and operations performance, including Services and Volumes, Compliance, and Service Levels and Performance
25	Vendor Operational Reports	B	Weekly	Monitoring & Operations	Liaison Report with other vendors & status of tickets pending with vendors

S.no	Report Name	Phase	Report Status	Tower	Description
26	Incident Report	B	Monthly	Monitoring & Operations	Report Incidents managed by operations, categorized by line of business, business segment, criticality, and overall totals
27	Change Management Report	B	Weekly	Monitoring & Operations	Weekly Status of change requests
28	Problem Management Report	B	Weekly	Monitoring & Operations	Weekly Status of problem tickets
29	Database Performance Report	B	Weekly	Monitoring & Operations	Weekly performance of DB parameters
30	Server Performance Report	B	Weekly & Monthly	Monitoring & Operations	Weekly performance of servers
31	Severity Report	B	Monthly	Monitoring & Operations	Report Severity notifications managed by operations, categorized by line of business, business segment, criticality, and overall totals
32	Morning Operational Report	B	Daily	Monitoring & Operations	Report production-impacting operational issues that occurred within the last 24 hours and provide details on actions, notification, escalation, and current status
33	Backup Reports	B	Daily	Monitoring & Operations	Daily Backup success & failure report
34	Network Performance	B	Weekly	Monitoring & Operations	Weekly Network Performance report
35	Shift Turnover Report	B	By Shift	Monitoring & Operations	Report Critical, Open, and General items that occurred during the last shift
36	IMAC Service Request Report	B	Monthly	Help desk	Report Soft and Hard IMAC Services requests by time to complete, time to respond, time to complete for desktop, server, and network
37	IMAC Change Request Report	B	Monthly	Help desk	Report quality and timeliness for IMAC Change requests

S.no	Report Name	Phase	Report Status	Tower	Description
38	Help Desk Report	B	Weekly & Monthly	Help desk	Report Help Desk statistics, including first call resolution, abandonment rate, incident accuracy and resolution, average speed of answer, and contact method and type
49	Devices Accurately Captured in the Operations, Logical Diagrams, and in the CMDB	S	Quarterly	All	This Report measures both the quantity of Devices listed in the CMDB as well as the accuracy of the information which is captured for those Devices. This report demonstrates the total number of Devices accurately captured in the CMDB.
53	Service Level Reports	B	Monthly	Project Office	Monthly reports to confirm adherence to agreed service levels
54	Ad-hoc reports	B	Daily ,Weekly & Monthly	Any	As & when required by the bank
55	Project Reports	B	Daily ,Weekly & Monthly	Project Office	New Projects handholding status report, Milestones achieved / Deviations observed, Issues identified, Action Items identified
56	Vendor Blacklining	B	Quarterly	Project Office	Bidder has to submit a report showing all the back lining with OEM (Hardware, Software, Support) is inline and not expired

## Appendix M

### Interface List

Sl. No	Interface Name	Description
1.	Alternate delivery channel like ATM, Mobile, E-Banking, NEFT /RTGS /SFMS /Cards Variants /Card hot listing//IMPS /IVR/ NACH/ IND-AS/GST/ FIU / Payment Gateway/SMS Gateway/LC and BG / 2 Factor Authentication / DIGI PKGB/ BBPS/ CBSL/ Call Center etc.	Various Channels implemented in the Bank.
2.	CTS From CBS CTS to CBS	Web-based Application used for capturing and processing of scanned Cheque images and handling presentation to RBI/NPCI under Cheque Truncating System
3.	Fi Gateway and FI kiosk	<b>Financial Inclusion Gateway:</b> Switch for processing Financial Inclusion transactions of various vendors <b>Financial Inclusion System:</b> Application for processing Financial Inclusion transactions from field <b>FI Kiosk :-</b> For handing transactions FI transactions
4.	ALM	Asset liability Management system
5.	Flux pay	Handing NACH / ECS / ABPS transactions
6.	ADF / MIS	Reporting System
7.	DMS	Document Management system - For Scan Based Account Opening (SBAO) process for SBA, CAA and TDA type of accounts
8.	CRISIL	CRISIL OPERATIONAL RISK EVALUATOR)CRAR calculation, corporate client rating and operational risk event analysis and capturing
9.	EKYC / CKYC	Interface for doing Aadhaar verification through Finacle
10.	Rupay interface	Maintain Rupay database by bank itself
11.	CPSMS/ PFMS	Interface to handle CPSMS functionality
12.	HRMS	Human Resource Management System (L&T)
13.	EFRM	Enterprise Fraud Risk Management
14.	AML	Connect to CBS database and extracts required data during End Of Day operation

<b>Sl. No</b>	<b>Interface Name</b>	<b>Description</b>
<b>15.</b>	UPI - BHIM	Issuer Bank
<b>16.</b>	ASRR Server	CBS Interfaces for – Aadhaar Seeding through SMS, Miss call alert
<b>17.</b>	Central KYC Registry (CKYCR)	CBS and CERSAI Interface
<b>18.</b>	Passbook Updating Machine	CBS Interface
<b>19.</b>	Cash Accepting Machine	CBS Interface
<b>20.</b>	KCCLMS	CBS Interface
<b>21.</b>	CHOICE – Insurance Data	Interface for CBS and Canara HSBC Server
<b>22.</b>	ROSIO	Interface for CBS and PFMS
<b>23.</b>	DIGI Mobile Apps	CBS Interface
<b>24.</b>	Mandate Management System (MMS-NPCI)	CBS Interface

## Appendix N

### Service Window across Service Category

<b>Application Management Services</b>	
<b>Finacle Core Banking Solution and all channels</b>	24 x 7 x 365
<b>NEFT,RTGS</b>	As per Bank's business hours and RBI window
<b>Domain</b>	
<b>Server Management Services</b>	24 x 7 x 365
<b>Network Management Services</b>	24 x 7 x 365
<b>Storage Management Services</b>	24 x 7 x 365
<b>Database Management Services</b>	24 x 7 x 365
<b>Backup, restore &amp; Archival Management Services</b>	24 x 7 x 365
<b>Cross Functional Services</b>	
<b>Performance management &amp; reporting</b>	24 x 7 x 365
<b>Incident Management &amp; Application Monitoring Group Support Services (IT Infrastructure)</b>	24 x 7 x 365
<b>Asset &amp; Configuration Management</b>	8x6
<b>Change &amp; Release Management</b>	24 x 7 x 365
<b>Service Level Management</b>	24 x 7 x 365
<b>Security Management</b>	24 x 7 x 365
<b>Software Distribution</b>	24 x 7 x 365
<b>Software License Management</b>	8 x 6
<b>Vendor Performance Management</b>	8 x 6
<b>IT Continuity and Disaster Management</b>	24 x 7 x 365
<b>EMS,APM &amp; Helpdesk Tools</b>	
<b>EMS &amp; Helpdesk Tools</b>	24 x 7 x 365