

**Request for Proposal (RFP)**  
**For**  
**Appointment of Technical and *Project***  
***Management* Consultant on a Retainer basis**



UCO Bank,  
Department of Information Technology  
Head Office - 2,  
3 & 4, DD Block, Sector-1, Salt Lake  
Kolkata - 700 064

RFP Reference No. IT/2010-11/1627

Date: 04/11/2010

The information provided by the bidders in response to this Request For Proposal (RFP) will become the property of UCO Bank and will not be returned. The Bank reserves the right to amend, rescind or reissue this RFP and all amendments will be advised to the bidders and such amendments will be binding upon them. The Bank also reserves its right to accept or reject any or all responses to this RFP without assigning any reason whatsoever.

*This document is prepared by UCO Bank for Appointment of Technical and Project Management Consultant on a Retainer basis. It should not be reused or copied or used either partially or fully in any form.*

<b>Bid Details-Control Sheet Table</b>		
1.	Date of commencement of sale of Bidding Document	04-11-2010
2.	Last date and time for sale of Bidding Documents	25-11-2010 up to 4.00 PM.
3.	Queries, if any, to be communicated by the bidders	10-11-2010 up to 4.00 PM.
4.	Pre-Bid meeting	12-11-2010 at 11.30 AM.
5.	Last date, time & Venue for submission of Bid Documents	25-11-2010 4.00 PM at : UCO Bank, Head Office, Department of Information Technology 5 <sup>th</sup> Floor,3&4 DD Block,Sector-1, Salt Lake, Kolkata 700 064 (Bid documents should be dropped in the Tender Box kept at 5 <sup>th</sup> Floor)
6.	Date and Time of Technical Bid & Commercial Bid Opening	1. Technical Bid - 25-11-2010 4.30 PM 2. Date of Commercial Bid opening will be intimated to the bidder/s qualifying In Technical Bid
7.	Place of opening of Bids	UCO Bank, Head Office, Department of Information Technology 5 <sup>th</sup> Floor,3&4 DD Block,Sector-1, Salt Lake, Kolkata 700 064
8.	Address for communication	General Manager (IT) UCO Bank, Head Office, Department of Information Technology 3&4 DD Block,Sector-1, Salt Lake, Kolkata 700 064 e-mail: hocbs.calcutta@ucobank.co.in
8.	Cost of RFP document	₹ 10000/- in the form of Demand Draft/Bankers' Cheque/Pay Order in favour of UCO Bank payable at Kolkata should be submitted along with the Technical Bid.

Note: Bids will be opened in presence of the bidders' representatives (maximum two representatives per bidder) who choose to attend. In case the specified date of submission & opening of Bids is declared a holiday in West Bengal, the bids will be received till the specified time on next working day and will be opened at 4:30 p.m. on the next day.

**[A] Important Clarifications:**

Following terms are used in the document interchangeably to mean:

1. Bank means "UCO Bank".
2. Respondent, Respondent and Bidder means "Respondent to the RFP document".
3. RFP means this "RFP document"
4. Words "Technical Consultant" and "Consultant" carry the same meaning.
5. DC means "Data Centre"
6. SP means "Service Provider"
7. DR/DRS means "Disaster Recovery Site"
8. CBS means "Core Banking Solution"
9. Consultant and Bank shall be individually referred to as "Party" and collectively as "Parties".

*This document is meant for the specific use by the Company / person/s interested to participate in the current tendering process. This document in its entirety is subject to Copyright Laws. UCO Bank expects the bidders or any person acting on behalf of the bidders to strictly adhere to the instructions given in the document and maintain confidentiality of information. The bidders will be held responsible for any misuse of the information contained in the document and liable to be prosecuted by the Bank in the event of such a circumstance is brought to the notice of the Bank. By downloading the document, the interested party is subject to confidentiality clauses.*

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## Section – I

### 1 Introduction and Disclaimer

This Request for Proposal document (“**RFP**”) has been prepared solely to enable UCO Bank (“**Bank**”) in defining the requirements for appointment of a technical and project management consultant for the on-going and new Information Technology initiatives to be undertaken by the Bank over a period in the next 3 years with an option for the Bank to extend the period for further 2 years.

The RFP document is not a recommendation, offer or invitation to enter into a contract, agreement or any other arrangement in respect of the services. The provision of the services is subject to observance of selection process and appropriate documentation being agreed between the Bank and any successful bidder as identified by the Bank after completion of the selection process as detailed under Section – III.

### 2 Information Provided

The RFP document contains statements derived from information that is believed to be true and reliable at the date obtained but does not purport to provide all of the information that may be necessary or desirable to enable an intending contracting party to determine whether or not to enter into a contract or arrangement with Bank in relation to the provision of services. Neither Bank nor any of its directors, officers, employees, agents, representative, contractors, or advisers gives any representation or warranty (whether oral or written), express or implied as to the accuracy, updating or completeness of any writings, information or statement given or made in this RFP document. Neither Bank nor any of its directors, officers, employees, agents, representative, contractors, or advisers has carried out or will carry out an independent audit or verification or investigation or due diligence exercise in relation to the contents of any part of the RFP document.

### 3 For Respondent Only

The RFP document is intended for the information of “the **Respondent**” i.e. Government Organization/PSU/ limited Company or a partnership firm.

### 4 Disclaimer

Subject to any law to the contrary, and to the maximum extent permitted by law, Bank and its officers, employees, contractors, agents, and advisers disclaim all liability from any loss or damage (whether foreseeable or not)

suffered by any person acting on or refraining from acting because of any information, including forecasts, statements, estimates, or projections contained in this RFP document or conduct ancillary to it whether or not the loss or damage arises in connection with any negligence, omission, default, lack of care or misrepresentation on the part of Bank or any of its officers, employees, contractors, agents, or advisers.

## **5 Costs Borne by Respondents**

All costs and expenses incurred by Respondents in any way associated with the development, preparation and submission of responses, including but not limited to attendance at meetings, discussions, demonstrations, etc. and providing any additional information required by Bank, will be borne entirely and exclusively by the Respondent.

## **6 Respondent Obligation to Inform Itself**

The Respondent must conduct its own investigation and analysis regarding any information contained in the RFP document and the meaning and impact of that information.

## **7 Evaluation of Offers**

Each Respondent must acknowledge and accept that Bank may, in its absolute discretion, apply whatever criteria it deems appropriate in the selection of organizations, not limited to those selection criteria set out in this RFP document.

## **8 Errors and Omissions**

Each Respondent should notify Bank of any error, omission, or discrepancy found in this RFP document but not later than ten business days prior to the due date for lodgment of Response to RFP.

## **9 Acceptance of Terms**

A Respondent will, by responding to Bank RFP, be deemed to have accepted the terms as stated in this RFP document.

The RFP document will not be construed as any contract or arrangement, which may result from, the issue of this RFP document or any investigation or review carried out by a Respondent.

## **10 RFP Response Terms:**

### **10.1 Lodgment of RFP Response**

#### **10.1.1 Application Money**

Application Money of ₹10,000/- (₹ Ten thousand only) by way of Bankers' Cheque/Demand Draft/Pay Order favouring UCO Bank, payable in

Kolkata, which is **non refundable**, to be submitted separately along with RFP response.

### 10.1.2 RFP Closing Date

RFP Response should be received by the officials indicated below not later than 4:00 PM IST (Indian Standard Time –GMT +05:30) on 25-11-2010.

### 10.1.3 Submission to Bank

**The RFP response documents should be submitted in duplicate in paper copies [i.e. Two Sets (Original Set and Duplicate Set)] and**

**Each set** should contain one copy of Technical Bid and one copy of Commercial Bid (kept in **separate** sealed envelopes) super scribing

**“Technical Bid for Technical & Project Management Consultant on a Retainer basis” and “Commercial Bid for Technical & Project Management Consultant on a Retainer basis”** respectively.

A copy of the Commercial Bid **without the price figures(copy of the Commercial Bid masking the prices)** is to be enclosed along with the Technical Bid and placed in the Technical Bid envelope.

Two separate sealed envelopes of Technical Bid and Commercial Bid respectively should be put together in a sealed master envelope super scribing ‘PROPOSAL FOR TECHNICAL & PROJECT MANAGEMENT CONSULTANT ON A RETAINER BASIS’.

**There will be two such master envelopes one for each set. Along with these two master envelopes; bidder will submit one more envelope containing two separate demand drafts/banker’s cheques/pay orders towards Application Money and EMD respectively.**

The proposal should be prepared in English in MS Word/Excel format. The e-mail address and phone/fax numbers of the bidder should also be indicated on the sealed envelopes.

Paper copies of RFP response as mentioned above along with Demand Draft/Banker’s Cheque/Pay Order for (i) ₹10,000/- towards Application Money and (ii) ₹50,000/- towards Earnest Money Deposit & one electronic copy (Microsoft XP Word and Excel, on CD ROM) of **Technical Bid** submissions must be submitted to Bank at the following address

**General Manager (IT),  
UCO Bank,  
Head Office - 2,  
3 & 4, DD Block, Sector-1, Salt Lake  
Kolkata – 700 064**

The sealed bid envelopes as mentioned above should be delivered on 5<sup>th</sup> Floor, Department of Information Technology.

The Technical Proposal will be evaluated first for ascertaining eligibility and then technical suitability. Commercial Proposal shall be opened only for the short-listed bidders who have qualified in the eligibility criteria and Technical Proposal evaluation.

**10.1.4 Submission will be valid if:**

- Copies of the RFP response documents are submitted subject to clause 10.1.3, before the aforementioned closing date specified in clause 10.1.2.
- Submission is not by E-mail or Fax transmission.

**10.1.5 Only One Submission Permitted**

Only one submission of response to RFP by each Service Provider will be permitted. In case of partnerships / consortium, only one submission is permitted through the lead service provider.

**10.2 Registration of RFP**

Registration will be affected upon Bank receiving the RFP response in the above manner (Clause 10.1). The registration must contain all documents, information, and details required by this RFP. If the submission to this RFP does not include all the information required or is incomplete or submission is through Fax mode, the RFP is liable to be summarily rejected.

All submissions, including any accompanying documents, will become the property of Bank. Respondents shall be deemed to license, and grant all rights to, Bank to reproduce the whole or any portion of their submission for the purpose of evaluation, to disclose the contents of the submission to other Respondents who have registered a submission and to disclose and/or use the contents of the submission as the basis for any resulting RFP process, notwithstanding any copyright or other intellectual property right that may subsist in the submission or accompanying documents.

### 10.3 RFP Validity Period

RFP responses will remain valid and open for evaluation according to their terms for a period of at least six (6) months from the RFP closing date.

The Bank shall have the right at its absolute discretion to continue the assignment/contract on the selected bidder for future requirement on the rates finalized in this processing for various items/activities as described in the Price Bid after expiry of current assignment period.

### 10.4 Requests for Information

Respondents are required to direct all communications for any clarification related to this RFP to the Bank officials by letter/fax/e-mail till the date & address mentioned in Bid Details- Control Sheet Table

All questions relating to the RFP, technical or otherwise, must be in writing only. Bank will not answer any communication initiated by respondents later than fifteen (15) business days prior to the due date for lodgment of RFP response. However, Bank may in its absolute discretion seek, without any obligation whatsoever, additional information or material from any respondents after the RFP closes and all such information and material provided must be taken to form part of that Respondent's response.

Respondents should invariably provide details of their email address(es) as responses to queries will only be provided to the Respondent via email.

If Bank in its absolute discretion deems that the originator of the question will gain an advantage by a response to a question, then Bank reserves the right to communicate such response to all Respondents.

Bank may in its absolute discretion engage in discussion or negotiation with any respondent (or simultaneously with more than one respondent) after the RFP closes to improve or clarify any response.

## 11 Notification

Prior to expiration of the period of Bid validity, the Bank will notify the successful Bidder/s in writing or by e-mail, that its Bid has been accepted.

The notification of award will constitute the formation of the Contract.

Upon notification of award to the L1 Bidder / Multiple Bidders, the Bank will promptly notify each unsuccessful Bidder and will discharge its Bid security.

**Note: Notwithstanding anything said above, the Bank reserves the right to reject the contract or cancel the entire process without assigning reasons thereto.**

## 12 Disqualification

Any form of canvassing/lobbying/influence/query regarding short listing, status etc will be a disqualification.

## 13 Process

Selection of a successful Service Provider will involve a four (4) stage approach. The approach follows the Indian Government's Central Vigilance Commission (CVC) guidelines.

Stage 1 – Issue RFP Document

Stage 2 – Receipt of RFP response

Stage 3 – Technical and Commercial evaluation

Stage 4 – Discussion with Final vendor & issuance of engagement letter

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## Section - II

### 1 UCO Bank– the world class financial institution

#### Bank Profile

UCO Bank is a public sector bank having more than 67 years of experience in financial sector. The bank has a network of over 2150 branches and offices, and about 500 ATMs. UCO Bank offers a wide range of banking products and financial services to about 20 million global corporate and retail customers, through its network of branches and various delivery channels, in all the areas of banking. UCO Bank has international presence at Hong Kong and Singapore besides representative offices at Malaysia and Guangzhou China. The Bank is exploring out-of-the-box means to identify novel ways to tailor its growing repertoire of products and services to meet segment-specific requirements across geographies. Automation-led process and cost optimization, orchestration of the offices network and greater attention to compliance with regulations are aggressively being focused on to help the bank achieve its ambitious goals.

#### Current High Level Technology environment

UCO Bank has 100% of its branches on core banking solution – Finacle. Bank has also implemented or is in the process of implementing a range of customer centric solutions which are as follows:

- ▶ Full suite of Core banking solution including trade finance
- ▶ Payment systems like NEFT, RTGS, SWIFT, CTS, etc.
- ▶ Enterprise wide general ledger
- ▶ Anti Money Laundering solution
- ▶ Alternate delivery channels like SMS Banking, Internet Banking
- ▶ GPRS based Mobile Banking
- ▶ Networked ATM project
- ▶ Centralized Anti-Virus Solutions
- ▶ Mail Messaging System
- ▶ Online Share Trading
- ▶ Lending Automation Processing System
- ▶ Beneficiary Registration for Internet Banking
- ▶ Utility Bill Payments through Internet Banking
- ▶ ASBA both at Designated Branches and through Internet Banking

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- ▶ Two-Factor Authentication, Anti-phishing, Fraud detection and control
  - ▶ Self Service Pass Book Printer
  - ▶ Assisted Teller Machine
  - ▶ Transaction Kiosk
  - ▶ Bulk Cash Depositor
  - ▶ E-ticketing Kiosk
  - ▶ Financial Inclusion
    - a) ICT Based Financial Inclusion
    - b) Bank-on-wheels
  - ▶ Integrated MIS system
  - ▶ Data Warehouse
  - ▶ Customer Relationship Management
  - ▶ Call Center

### **Key Business Drivers**

#### ***Strategy to place customer as focal point***

The Bank understand that customer satisfaction is the key area and along with the business orchestration, it would need a technology rejuvenation, to deliver an improved and homogenous customer experience across the geographical divide, ease governance and MIS with a unified view of its operations and improve its risk and cost management strategies.

#### **The Search for a Solution**

UCO Bank's Core Banking Solutions, ably partnered by Finacle universal banking solution, a centralized and cohesive technology platform to support rapid product introduction, orchestrated operations, increased scalability and true flexibility across operations, driving down costs and governance hassles, was key to the Bank's transformation strategy.

#### **Future plans**

In addition to what is stated above in current high level Technology environment, the bank proposes to implement several new IT projects on an ongoing basis depending on their needs and the changing technology and regulatory environment. Consequent upon 100% CBS implementation, it has now become imperative to embark upon a business process transformation exercise encompassing some business areas of the Bank to leverage the technology in the best possible manner. Different applications in major area as conceived for the immediate future are

- a) Implementation of integrated asset liability management
- b) Integrated MIS System
- c) Data warehouse
- d) Human Resources Management Service
- e) Document Management System

To provide suitable and appropriate technical consultancy services, UCO Bank invites Request for proposal from reputed institutions / professional firms / companies to assist the Bank in providing services detailed more in the scope section of this document.

## Section - III

### 1 Current RFP Objectives:

#### 1.1 Project Objective

The Bank wishes to appoint competent **Consultant** on a retainer basis for a period of 3 years with an option for the Bank to extend the period for further 2 years to:

1. Draft new Master Agreement, Terms & Conditions and deliverables for Facility Management after expiry of current Master Contract with existing System Integrator including Financial penalty for SLA Default
2. Define Technology Road Map for the next 3-5 years
3. Provide assistance to Bank on Information Technology related aspects
4. Provide assistance in Vendor Evaluation & Selection for IT Related Products, Services and Projects
5. Testing Services
6. Provide project management assistance for implementation of IT projects
7. Provide assistance to the Bank on IT transformation within the Bank
8. *Provide assistance to the Bank for adopting the existing IT Projects and Infrastructure from the current outsourcing model to the in-house managed model in a phased manner.*
9. Provide assistance to the Bank to define and implement an effective IT governance framework.
10. Provide assistance to the Bank for Review and necessary modification of all IT related Policies including Business Continuity Planning.

#### 1.2 Consultancy Scope

The Bank's IT environment and its respective strategy would only add value to the bank and generate returns on IT investment provided it incorporates the emerging global and domestic technology trends / practices, imbibes regulatory environment and leverages on the bank's existing IT infrastructure and resources.

The technology environment is ever changing which necessitates a constant update of the technology plan of the bank in a varied and recurrent manner. Bank, therefore, envisages the need for consulting

assistance on retainer basis. The overall scope defined in this RFP document is indicative and only mentions the broad areas from which the specific requirements would be derived from. The specific requirements of the bank during the period of contract would purely be on a need basis and made known to the selected consultant.

The Bank expressly stipulates that the SP's selection under this RFP is on the understanding that this RFP contains only the principal provisions for the entire assignment. The SP shall be required to undertake to perform all such tasks, render requisite services and make available such resources as may be required from time to time and requirements made known by the bank during the period of the contract.

Based on specific requests on advisory assistance from the bank during the period of contract, the selected SP shall be required to independently arrive at the Methodology, based on globally acceptable standards and best practices, suitable for the Bank, after taking into consideration the effort estimate for completion of the same and the resource requirements.

The requirement of the consultant would be need based and the time to be taken and resource requirement for a particular work referred by the Bank would be agreed in advance before commencement of the work by the consultant. *The Bank will utilise **the services of the consultant on a time and material basis**. The scope of work even though specified is not a fixed price contract and the Bank may or may not choose to take the services of the technology consultant for the entire or part of the scope.*

The SP's involvement is expected to spread across a period of 36 months from the date of contract, extendable to further 24 months.

The indicative scope for entire consultancy assignment from which the areas of work shall emerge during the contract period is detailed as below:

In the performance of the Services, SP is expected to adopt a modular approach, as described below.

**1. Drafting of new Master Agreement, Terms & Conditions and Deliverables for Facility Management of CBS :**

- o Draft new Master Agreement for implementation after expiry of Current Master Agreement with existing System Integrator
- o Document and list the contractual obligations and deliverables of the Vendor as part of the new Master Agreement
- o Seek inputs from the Bank on the deliverables and obligations expected from the Vendor
- o Determine and include financial penalty in Master Agreement for SLA Default on contractual obligations and Deliverables

## 2. Define Technology Road Map for the next 3 – 5 years

- a. Review Bank's existing technology with that of peers. Identify gaps, if any and assist in defining methodology for bridging up those gaps to ensure that the Bank is at par with peers in the industry.
- b. Gain understanding of the IT landscape of the Bank with respect to :
  - i. Application deployment
  - ii. Network and security
  - iii. Other IT infrastructure
- c. Perform a business and IT alignment exercise across all divisions and business units of the Bank encompassing:
  - i. Business application requirements
  - ii. Role of technology and support applications
- d. Identify technology requirements at the branches taking into consideration:
  - i. Ease of customer service
  - ii. Higher customer experience
  - iii. Optimal Staff utilisation and productivity
- e. Define the IT strategy of the Bank both for the short term (3 years) and long terms (5 years)
- f. Define the investment layout
- g. Define the implementation roadmap and milestones

## 3. Providing Assistance to the Bank on all Information Technology related Aspects

- o Study new industry requirements or trends:
  - Conduct study of new regulatory and industry requirements or trends as requested by the Bank on a particular:
    - Technology solution
    - Product / service offering
  - Prepare a study report detailing:
    - The findings of the study
    - Applicability of the technology / product / service to UCO Bank environment
    - SWOT analysis
    - Option evaluations

- 
- Pricing points
  - Models available for deployment (ownership, outsourcing, BOOT, ASP etc.)
    - Assist the Bank in finalising the requirement
  - Provide opinion / guidance on technology related matters referred by the Bank
    - Gain understanding of the matter referred by the Bank
    - Review / understand contractual obligations between the Banks and vendors
    - Provide an opinion or guidance to the Bank on matters referred. The opinion / guidance note should include the following:
      - Use or applicability of the matter to the Bank's overall IT environment
      - Comments on the contractual obligation of the vendors
      - Comparison of some similar players and market trends
      - Technology implications and fitment in the current environment
      - Impact on current and future technology environment
      - Cost and other operational implications / impact for the Bank
    - Participate in meetings and discussions with the vendors along with the Bank personnel
    - Present point of view or opinion to the Bank's management
    - Assist the Bank in finalising and choosing the right solution / option considering the overall implications on the current and future requirements of the Bank
    - Preparation and review of technology related policy documents / strategy documents in alignment with the Bank's business objectives

#### 4. **Provide Assistance in Vendor Evaluation and Selection for IT related Products, Services and Projects**

- Functional and Technical Requirement Specification
  - Define the functional and technical requirements / specifications for the technology components / aspects referred by the Bank
  - Discuss the drafted functional and technical specifications with the IT department and obtain sign-off on the same.
- Define Service Levels
  - Identify SLA parameters
  - Define & Develop SLA parameters for various components of the IT Infrastructure and services. These would include:
    - Uptime of critical systems
    - Maintenance downtime parameters
    - Expected service levels and desired service level parameters.
  - Define the method of measuring and evaluating the Service levels
  - Define escalation matrix and procedures
  - Discuss the defined service levels and SLA parameters with the bank's management and obtain consensus
  - Define financial penalty for SLA Default on contractual obligations and Deliverables
- Assisting the Bank for taking up e-tendering project in order to conduct the procurement process, i.e. Expression of Interest, Contract download, submission of bid document, evaluation of tenders etc. online
- Assisting the Bank in implementation of various other projects as per bank's future plan namely –
  - a) Integrated Asset Liability Management
  - b) Integrated MIS System
  - c) Data Warehouse
  - d) Human Resources Management Service
  - e) Document Management System

- Assisting the Bank in formulation of Request For Proposal Document
  - The request for proposal document (Tender) to be floated.
  - The scope of work to be performed by the vendor for the project
  - The terms and conditions of the project
  - The payment terms
  - Design the evaluation methodology
  - A framework for obtaining a comprehensive Price Bid
  - A framework for providing the Bill of Material
  - A framework for hardware sizing
  - Discuss the formulated request for proposal with the bank
  
- Assisting the Bank in the process of Vendor Evaluation and Selection in respect of (But not limited to)
  - Responding to the pre-bid technical and functional queries of the bidders
  - Drafting the EOI document for initial vendor screening
  - Defining the minimum eligibility criteria for the bidders
  - Conducting the expression of interest evaluation
  - Floating the request for proposal to the eligible bidders
  - Conducting a detailed technical and functional evaluation of the eligible bidders
  - Obtaining product demonstrations and conducting functional product evaluations
  - Performing technical Bill of Material normalization
  - Technical and functional short-listing
  - Commercial bid evaluation methodology for the technically short-listed vendors
  - Adhering to relevant Procurement guidelines of CVC
  - Provide inputs to the bank's legal team for defining the Service Level Agreements

## 5. Testing Services

The consultant during the period of the contract may be from time to time as per the need of the Bank require to perform or project manage the end to end user acceptance testing, hardware and infrastructure acceptance, report and monitor performance benchmarks. The applications for which these tests need to be performed would be

mutually agreed by the Bank and consultant from time to time as per the need and requirement of the Bank. As part of the testing services the consultant is expected to:

- Define the test strategy and methodology for :
  - User Acceptance testing
  - Performance benchmark
  - Hardware and infrastructure testing
- Define the test case documentation and reporting framework
- Define the test plans and test calendars
- Define / review the test cases
- Perform / Assist the bank in performing user acceptance testing and hardware and infrastructure acceptance testing
  - Define the acceptance test criteria for the IT components / products
  - Agree and sign-off on the acceptance test process
  - Assist for pre and post delivery inspection of equipments and products being procured
  - Map the equipments supplied by the IT vendor with the Bill of Materials
  - Identify part number/ equipment mismatches
  - For the matched equipment, conduct a detailed acceptance testing involving Test plan preparation, Test data / requirements preparation, Conduct testing as per detailed testing methodology
  - Validate individual system configuration in terms of licenses and other parameters e.g. hard disk capacity, RAM, CPU, etc.
  - Document acceptance test results, and identify gaps
  - Prepare a deviation list
  - Work back with the bank and the IT vendor to ensure that the gaps are fulfilled and prepare reports
- Report, manage and monitor the performance benchmark exercise
- Project management the entire testing for :
  - User Acceptance testing
  - Performance benchmark
  - Hardware and infrastructure testing

## 6. Provide Project Management Assistance for Implementation of IT Projects

The consultant is expected to provide expert project management resources to handhold the Bank throughout the entire project management life cycle for technology projects referred by the Bank. As part of the project management exercise the consultant is expected to:

- o Setup the project management office and framework comprising of :
  - Project charter formulation
  - Project risk analysis
  - Assistance in project management and project delivery team identification and resourcing
  - Change management procedures
  - Project planning and detailing
  - Project quality management procedures
- o 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
- o Provide assistance to the Bank throughout the entire life cycle of the project implementation by managing and reviewing the following phases of the project
  - Current State assessment
  - Business parameterisation
  - Gap analysis and Customisation
  - User Acceptance testing
  - Data migration
  - Pilot Rollout
- o Assist the Bank in closure of issues pending for resolution
- o Review the resolution provided by the vendor and offer the solutions to the Bank based on the industry best practices.
- o Review the progress made in the implementation of the project
- o Track customization and gaps
- o Monitor closure of gaps and customizations as per delivery schedules
- o Assist the bank in defining the rollout schedules

- Assist the Bank in imparting Training of the work force and conducting Change Management following significant change in Technology
- Provide regular updates to Bank's IT Management committee and IT Committee of the Board , if required by the Bank
- Participate in all technical and functional discussions relating to the projects

#### **7. Provide assistance to the Bank on IT Transformation within the bank**

The Bank has completed the core banking implementation at the domestic branches and covered 100% domestic business on the Core Banking platform. The bank followed prudent and innovative approaches as it embarked on the challenge of core banking solution implementation at various branches along with innovating with varied delivery channels to deliver efficient services to its customers. However, the bank understands that there is a need to periodically review its IT strategy and plans to review its critical and crucial decisions on IT Costs, number of vendors, own Vs outsourcing, for various components of the overall IT plan of the bank.

At the same time, the bank wants to ensure adequate performance and fully leverage its current IT infrastructure and manage the upgradation, replacement and future expansion of the technology platform in a judicious and efficient manner. The bank intends to seek the assistance of the IT consultant for the following:

- Evaluate the existing CBS system and explore the need to upgrade, if required
- Leverage Current IT Infrastructure to its full potential
- Assist the Bank in forging link between Corporate Performance and effective information technology management and maximising the impact IT has on corporate performance
- Upgrade, replacement and modification for future expansion and requirements
  - Identify the requirements for upgrade, replacement and modification jointly with Bank and/or the system integrator covering the following :
    - Software and licenses requirements
    - Hardware requirements
    - Data base and operating system requirements
    - Data centre and disaster recovery site requirements and infrastructure

- Network, security and bandwidth requirements
- Facilities management
- Define the functional and technical training requirements for the bank's staff for the same.
- Review of Decisions and Transitional support
  - Understand the management expectations in terms of long term IT plans on own vs outsourcing, number of vendors, IT application portfolio and IT costs. In case of any changes, the consultant will be required to provide a business case, draft such plans and project manage the transition process to the new approach.
  - Co-develop the resource and capacity planning requirements required for transitioning to new operating models or new IT infrastructure and operating models.

**8. Provide assistance to the Bank for adopting the existing IT Projects and Infrastructure from the current outsourcing model to the in-house managed model in a phased manner.**

- Assist the Bank in switching over from vendor driven projects to in-house driven projects after proper evaluation of
  - Cost benefit
  - Risk
  - Best practices in the industry
  - Expertise of Bank's resources
- Prepare manpower planning requirements for the above
- Identify the impact on the current system and anticipated changes
- Participate in meetings and discussions with the Bank to identify
  - Process change fitment
  - Process workarounds
  - Additional effort / infrastructure requirements to meet the change requirements

**9. Provide assistance to the Bank to define and implement an effective IT governance framework**

- a) Assess and measure the performance of IT processes in the Bank

- b) Provide detailed framework with hands-on information on how to achieve a successful operational Service management of IT in the Bank
- c) Provide guidance to Bank in the industry standard practice of information security
- d) Assist in detecting and combating security-relevant weak points in the IT environment
- e) Provide a framework for effective governance of IT to assist those at the highest level of Bank to understand and fulfill their legal, regulatory, and ethical obligations in respect of Bank's use of IT

**10. Provide assistance to the Bank for Review, modification and formulation of all IT related Policies including Business Continuity Planning**

- a) Review and assist the Bank in modifying the IT related Policies , namely
  - 1. Internet Banking Policy
  - 2. ATM policy
  - 3. IT Policy
  - 4. IT Security Policy
  - 5. Disaster Recovery Policy
- b) Assist in formulating the under-noted IT related Policies, namely
  - 1. Outsourcing Policy for ATM Managed Services
  - 2. IS Audit Policy
  - 3. Mobile Banking Policy
  - 4. Online Share Trading Policy
  - 5. Business Continuity Plan
  - 6. Purging Policy
  - 7. Archival Policy
  - 8. Mail Messaging Policy
- c) Assist the Bank in framing relevant IT related Policies currently in vogue in the industry and not yet formulated in the Bank

**1.3 Eligibility Criteria:**

The bidder is required to meet the following eligibility criteria and provide adequate documentary evidence for each of the criteria stipulated below:

1. Should be a Government Organization/PSU/PSE/ partnership firm or a limited Company under Indian Laws.
2. Should be in existence for five years as on 31.03.2010. (In case of mergers/acquisitions/restructuring or name change, the date of establishment of earlier/original Partnership Firm/Limited Company can be taken into account).
3. Should have a minimum turnover of at least *Rs. 100 crores* in each of the past two years i.e.2008-09 & 2009-10 from Indian operations
4. Should have net profit for the past 3 years in succession i.e.2007-08, 2008-09 & 2009-10
5. The firm should have never been blacklisted / barred / disqualified by any regulator / statutory body. An undertaking to this effect is to be submitted by the bidder.
6. The consulting firm or its subsidiaries should not be in the business of system integration or hardware or software solution providers or implementation services or providing facilities management services.
7. Should have prior experience in performing end to end consultancy services comprising of IT strategy formulation, vendor evaluation and selection and project management for at least 1 public sector Bank in India with Finacle as Core Banking Solution.(Successful completion certificates or engagement letter from the Bank needs to be furnished along with the response)
8. Should have prior experience in providing consultancy for & Project Management of network architecture, security architecture, data centre, disaster recovery and Business Continuity for at least 1 public sector Bank in India.(Successful completion certificates or engagement letters from the Bank needs to be furnished along with the response)
9. Should have handled at least 1 BPR project in any public sector Bank in India
10. Should have drafted/reviewed minimum 2 IT related Policy documents for commercial banks in India.

**Note:**

- o End to end consultancy services would be only credentials where the technology consultant has been involved from IT strategy formulation, to defining specifications, to vendor evaluation and selection to project management of the technology.

Those who fulfill all the eligibility criteria as mentioned above are only eligible to take part in this Bid exercise.

Proposals of those bidders, who do not fulfill the Eligibility Criteria conditions as stated above fully, will be rejected.

#### 1.4 Earnest Money Deposit (EMD)

Earnest Money Deposit of ₹50,000/- (₹ Fifty thousand only) has to be submitted by way of Demand Draft / Banker's Cheque / Pay Order drawn in favour of "UCO Bank" payable in Kolkata. Earnest Money will not carry any interest. The Earnest Money Deposit of unsuccessful bidders will be refunded while intimating the rejection of the bid. The Earnest Money Deposit of the successful bidder will be adjusted towards security deposit. The Demand Draft / Banker's Cheque / Pay Order towards Earnest Money Deposit should be delivered separately along with the sealed envelopes containing RFP responses and **it should not be kept inside the sealed envelopes containing RFP responses.**

The Earnest Money Deposit will be forfeited if:

- a) The bidder withdraws his tender before processing of the same.
- b) The bidder withdraws his tender after processing but before acceptance of "Letter of appointment" to be issued by the Bank
- c) The selected bidder withdraws his tender before furnishing Bank Guarantee/Security Deposit as required under this RFP.
- d) The bidder violates any of the provisions of the terms and conditions of this RFP specification.

#### 1.5 Submission of Bids & Clarifications:

##### 1.5.1 Submission of Bids:

Contents under this point should be read in conjunction with what is stated under point-12, Section-I of this document.

Bidder will submit two separate demand drafts/banker's cheques/pay orders towards Application Money for ₹10,000/- and EMD for ₹50,000/- respectively.

The Technical Proposal shall be to the requirement of the Bank in prescribed formats as per Annexure–A, C, D and E.

The Commercial Proposal shall be submitted in the format as per Annexure B.

The bidder shall submit the Proposals properly filed so that the papers are not loose. The Bidder shall submit the proposal in suitable capacity of the file such that the papers do not bulge out and tear during scrutiny. All the pages of the proposals including documentary proofs should be numbered as " Page \_\_\_\_ (current page) of \_\_\_\_ (Total pages)" and be signed by authorized signatory. The current page number should be a unique running serial number across the entire proposal.

The technical proposal shall be organized and submitted as per the following sequence:

- a. Table of Contents (list of documents enclosed)
- b. Technical proposal with detailed activities broken down, effort estimate, manpower estimated to be deployed, team profile in prescribed formats as per Annexure A, Annexure D and Annexure E
- c. Compliance certificate for all the terms and conditions as per Annexure-C
- d. All copies of certificates, documentary proofs etc.
- e. A CD containing soft copy of the proposal
- f. Masked Annexure B (i.e. a copy of the Commercial Bid without price figures)

It should be noted that in case of any discrepancy in information submitted by the bidder in hard-copy and soft-copy, the hard-copy will be given precedence. However, in case of non-submission of any hard copy document, if the same is found submitted in the soft-copy, Bank reserves right to accept the same at its discretion.

**The bid not accompanying with Application Money and EMD is liable to be rejected.**

### **1.5.2 Clarifications:**

For any clarification with respect to this RFP, following Bank officials may be contacted by way of following communication means:

**General Manager (IT)**  
**UCO Bank,**  
**Head Office - 2,**  
**3 & 4, DD Block, Sector-1, Salt Lake**  
**Kolkata – 700 064**

E-mail Id: hocbs.calcutta@ucobank.co.in

It may be noted that all queries, clarifications, questions etc., relating to this RFP, technical or otherwise, must be in writing only and should be addressed to the nominated point of contact.

Bidders should provide their E-mail address in their queries without fail since replies will be sent by e-mail.

The bidder will submit an undertaking specifying that the bidder has obtained all necessary statutory and obligatory permission to carry out project works, if any.

### **1.6 FORMATS OF BIDS:**

The bidders should use the formats prescribed by the Bank in the RFP for submitting both technical and commercial bids. Any deviation in this regard entails the bidder for disqualification.

The Technical Proposal will be evaluated first for eligibility and then technical suitability for eligible bidders only. Commercial Proposal shall be opened only for the short-listed bidders who have qualified in the Technical Proposal evaluation.

### **1.7 General Terms and Conditions (Please also refer to Section – I)**

#### **1.7.1 Term of Assignment:**

The consultant under this RFP will be appointed for a period of 3 years. The term is, however, extendable by 2 years at the sole discretion of the Bank at the same Man & material rate agreed for the contract period.

#### **1.7.2 Mode of Assignment:**

For any work/assignment, the consultant will submit to the Bank the estimation of total efforts & fees applying the agreed per Man Day rates for Team Members & Senior Resource. The cap for total fee for any work/assignment will be the total fee at agreed Average Resource Cost per Man-day for the total number of Man Day efforts required.

Estimate submitted by the Consultant for each work/assignment will be reviewed & approved by the Competent Authority in the Bank before awarding the work/assignment.

#### **1.7.3 Adherence to Terms and Conditions:**

The bidders who wish to submit responses to this RFP should note that they should abide by all the terms and conditions contained in the RFP. If the responses contain any extraneous conditions put in by the respondents, such responses may be disqualified and may not be considered for the selection process.

#### 1.7.4 Execution of SLA/NDA:

The Consultant should execute an Agreement, which would include all the services and terms and conditions to be extended as detailed herein and as may be prescribed by the Bank and (b) Non-disclosure Agreement (NDA). The Consultant should execute agreement within one month from the date of acceptance of Letter of Appointment.

#### 1.7.5 Other terms and conditions:

1. Bank reserves the right to :

- Reject any and all responses received in response to the RFP
- Waive or Change any formalities, irregularities, or inconsistencies in proposal format delivery
- To negotiate any aspect of proposal with any bidder and negotiate with more than one bidder at a time
- Extend the time for submission of all proposals
- Select the most responsive bidder (in case no bidder satisfies the eligibility criteria in totality)
- Select the next most responsive bidder if negotiations with the bidder of choice fail to result in an agreement within a specified time frame.
- Share the information/ clarifications provided in response to RFP by any bidder, with any other bidder(s) /others, in any form.
- Cancel the RFP/Tender at any stage, without assigning any reason whatsoever.
- Interview the personnel being deployed on the project

#### 2. WORK SPACE FOR CARRYING OUT ACTIVITIES:

The key persons identified by the consultant for the project should carry out their activities from Department of Information Technology, Kolkata or any other suitable location as provided by the Bank in Kolkata.

#### 3. SUBSTITUTION OF PROJECT TEAM MEMBERS:

During the assignment, the substitution of key staff identified for the assignment will not be allowed unless such substitution becomes unavoidable to overcome the undue delay or that such changes are critical to meet the obligation. In such circumstances, the vendor can do so only with the concurrence of the Bank by providing other staff of same level of qualifications and expertise. If the Bank is not satisfied with the substitution, the Bank reserves the right to terminate the contract and recover whatever payments made by the Bank to the Consultant during the course of this assignment besides claiming an amount, equal to the contract value as liquidated damages. However, the Bank reserves the right to insist the Consultant to replace any team

member with another (with the qualifications and expertise as required by the Bank) during the course of assignment.

**4. PROFESSIONALISM:**

The Consultant should provide professional, objective and impartial advice at all times and hold the Bank interests paramount and should observe the highest standard of ethics while executing the assignment.

**5. ADHERENCE TO STANDARDS:**

The Consultant should adhere to laws of land and rules, regulations and guidelines prescribed by various regulatory, statutory and Government authorities. However, if Bank suffers any loss or damage as a consequence of such non-adherence, the SP will have to make good of that loss in monetary terms as may be decided by the Bank.

6. The Bank reserves the right to conduct an audit/ongoing audit of the consulting services provided by the Consultant.

7. The Bank reserves the right to ascertain information from the Banks and other institutions to which the bidders have rendered their services for execution of similar projects.

**8. EXPENSES :**

It may be noted that Bank will not pay any amount/expenses / charges / fees / traveling expenses / boarding expenses / lodging expenses / conveyance expenses / out of pocket expenses other than the "Agreed Professional Fee".

However if the appointed consultant is required to undertake visit(s) to any site visit outside Kolkata to carry out any discussion/study/assessment within the scope of his work, Bank will pay traveling, boarding, lodging expenses/Diem Allowance as per current entitlement of an officer in the Bank in the cadre of Senior Management, Scale - IV, provided the specific prior approval of tour plan was obtained from the Bank for undertaking visit(s). Reimbursements towards such expenses will be against the production of actual tickets and bills. Further, in case of visits where the original starting place of journey is other than Kolkata, reimbursement of traveling expenses will be the actual amount incurred or the amount of fare entitlement by entitled mode and class, for the distance of the place visited from Kolkata by shortest route, whichever is lower. Such payment will be, in addition to the Agreed Professional Fee.

**9. PAYMENT TERMS:**

The Consultant's fees will be paid at the end of every month for the services rendered as per the rates which are described in the Commercial Proposal (Annexure B) and finally agreed between Bank and Consultant on a project to project basis.

For any work/assignment, the consultant will submit to the Bank the estimation of total efforts & fees applying the agreed per Man Day rates for Team Members & Senior Resource. The cap for total fee for any work/assignment will be the total fee at agreed Average Resource Cost per Man-day for the total number of Man Day efforts required.

Estimate submitted by the Consultant for each work/assignment will be reviewed & approved by the Competent Authority in the Bank before awarding the work/assignment.

The professional fee payable to the consultant shall be exclusive of service tax if any applicable and any other Government cess/levies as may be in force at that time and to claim such expenses, the consultant shall have registered with the concerned authorities for the said purposes. As such, the applicable service tax and any other Government cess/levies as may be in force at that time will be payable in addition to the professional fee quoted.

*10. The bidder can not change the Project Manager during entire period of execution of the scope unless consented in writing by the Bank.*

11. The bid should contain the resource planning proposed to be deployed for projects that will be assigned during the contract period which includes, inter-alia, the number of personnel, skill profile of each personnel, etc.

12. **CONTRACT PERFORMANCE GUARANTEE:** The selected bidder has to provide Security Deposit in the form of an unconditional and irrevocable Performance Bank Guarantee for ₹5,00,000/- ( ₹Five Lacs only) from a Public Sector Bank (other than UCO Bank) towards due performance of the project that will be assigned from time to time in accordance with the terms and conditions of this RFP document, within 15 days from the date of letter of appointment. The Performance Guarantee shall be kept valid for the entire period of assignment with additional claim period of three months after expiry of validity period.

13. **SINGLE POINT OF CONTACT:** The selected bidder should have a local office in Kolkata and has to provide details of single point of contact viz. name, designation, address, e-mail address, telephone/mobile no., etc. Escalation matrix should also be provided with full details.

14. **APPLICABLE LAW AND JURISDICTION OF COURT** :The Contract with the selected bidder shall be governed in accordance with the Laws of India for the time being enforced and will be subject to the exclusive jurisdiction of Courts at Kolkata (with the exclusion of all other Courts).

15. **LIQUIDATED DAMAGES (LD)**: The Bank will impose liquidated damages @5% subject to maximum of 10% of each contract value per week or part thereof, for delay in not adhering to the time schedules for commitments under each contract without prejudice to the bank's right to cancel the contract and take other legal measures, as deemed fit.

If the selected Bidder fails to complete the due performance of the contract in accordance to the specifications and conditions agreed during the final contract negotiation, the Bank reserves the right either to cancel the contract or to accept performance already made by the bidder. The Bank reserves the right to recover a suitable amount as deemed reasonable by the Bank as Liquidated Damage for non-performance.

Both the above Liquidated Damages are independent of each other and are applicable separately and concurrently.

LD is not applicable for reasons attributable to the Bank and Force Majeure. However, it is the responsibility of the bidder to prove that the delay is attributed to the Bank and Force Majeure. The bidder shall submit the proof authenticated by the bidder and Bank official that the delay is attributed to the Bank and Force Majeure along with the bills requesting payment.

17. **FORCE MAJEURE**: Any failure or delay by vendor or Bank in the performance of its obligations, to the extent due to any failure or delay caused by fire, flood, earthquake or similar elements of nature, or acts of God, war, terrorism, riots, civil disorders, rebellions or revolutions, acts of governmental authorities or other events beyond the reasonable control of non-performing Party, is not a default or a ground for termination. The affected Party shall notify the other party within reasonable time period of the occurrence of a Force Majeure Event.

18. **AUTHORIZED SIGNATORY**: The selected bidder shall indicate the authorized signatories who can discuss and correspond with the Bank, with regard to the obligations under the contract. The selected bidder shall submit at the time of signing the contract, a certified copy of the resolution of their Board, authenticated by Company Secretary, authorizing an official

or officials of the company or a Power of Attorney copy to discuss, sign agreements/contracts with the Bank. The bidder shall furnish proof of signature identification for above purposes as required by the Bank.

**19. INDEMNITY:** The bidder shall indemnify Bank and keep indemnified for against any loss or damage that Bank may sustain on account of violation of patent, trademarks, etc. by the bidder. The total liability of the selected bidder under this clause and contract shall not exceed the total contract value.

**20. RIGHT TO REJECT BIDS:** Bank reserves the absolute right to reject the response to this RFP if it is not in accordance with its requirements and no correspondence will be entertained by the Bank in the matter. The bid is liable to be rejected if

- a) It is not in conformity with the instructions mentioned in this RFP document.
- b) It is not accompanied by the requisite Application Money & EMD.
- c) It is not properly/duly signed.
- d) It is received through Telex / Telegram/ Fax.
- e) It is received after expiry of the due date and time
- f) It is incomplete including non-furnishing the required documents.
- g) It is evasive or contains incorrect information.
- h) There is canvassing of any kind.
- i) It is submitted anywhere other than the place mentioned under Section-I, Clause 10.1.3

**21. NON PAYMENT OF PROFESSIONAL FEES:** If any of the items/activities as mentioned in the price bid are not taken up by the Bank during the course of this assignment, the Bank will not pay the professional fees quoted by the consultant in the Price Bid against such activity/item.

**22. ASSIGNMENT:** Neither the contract nor any rights granted under the contract may be sold, leased, assigned, or otherwise transferred, in whole or in part, by the consultant, and any such attempted sale, lease, assignment or otherwise transfer shall be void and of no effect without the advance written consent of the Bank.

**23. NON – SOLICITATION:** The consultant, during the term of the contract and for a period of two years thereafter shall not without the express written consent of the Bank, directly or indirectly: a) recruit, hire, appoint or engage or attempt to recruit, hire, appoint or engage or discuss employment with or otherwise utilize the services of any person who is an employee or

associate or engaged in any capacity, by the Bank in rendering services under the contract; or b) induce at any time any person who is an employee or associate of the Bank to terminate his/ her relationship with the Bank.

**24.NO EMPLOYER-EMPLOYEE RELATIONSHIP:** The consultant or any of its holding/subsidiary/joint-venture/ affiliate / group / client companies or any of their employees / officers / staff / personnel / representatives/agents shall not, under any circumstances, be deemed to have any employer-employee relationship with the Bank or any of its employees/officers/staff/representatives/ personnel/agents.

**25.VICARIOUS LIABILITY:** The consultant shall be the principal employer of the employees, agents, contractors, subcontractors etc., engaged by the consultant and shall be vicariously liable for all the acts, deeds or things, whether the same is within the scope of power or outside the scope of power, vested under the contract. No right of any employment shall accrue or arise, by virtue of engagement of employees, agents, contractors, subcontractors etc., by the consultant, for any assignment under the contract. All remuneration, claims, wages dues etc., of such employees, agents, contractors, subcontractors etc., of the consultant shall be paid by the consultant alone and the Bank shall not have any direct or indirect liability or obligation, to pay any charges, claims or wages of any of the consultant's employees, agents, contractors, subcontractors etc. The consultant shall agree to hold the Bank, its successors, assigns and administrators fully indemnified, and harmless against loss or liability, claims, actions or proceedings, if any, that may arise from whatsoever nature caused to the Bank through the action of consultant's employees, agents, contractors, subcontractors etc.

**26.SUBCONTRACTING:** The consultant shall not subcontract or permit anyone other than its personnel to perform any of the work, service or other performance required of the consultant under the contract without the prior written consent of the Bank.

**27.CANCELLATION OF CONTRACT AND COMPENSATION:** The Bank reserves the right to cancel one or all contracts of the selected bidder at the discretion of the Bank and recover expenditure incurred by the Bank on the following circumstances. The Bank would provide 30 days notice to rectify any breach/ unsatisfactory progress:

- The selected bidder commits a breach of any of the terms and conditions of any one bid/contract.

- The bidder goes into liquidation voluntarily or otherwise.
- The progress regarding execution of the contract, made by the selected bidder is found to be unsatisfactory.
- If deductions on account of liquidated Damages exceeds more than 10% of the total contract price.

After the award of any contract, if the selected bidder does not perform satisfactorily or delays execution of the contract, the Bank reserves the right to get the balance contract executed by another party of its choice by giving one month's notice for the same. In this event, the selected bidder is bound to make good the additional expenditure, which the Bank may have to incur to carry out 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/Security Deposit, if any, under this contract.

**28.DISPUTE RESOLUTION:** If a dispute, controversy or claim arises out of or relates to the contracts, or breach, termination or invalidity thereof, and if such dispute, controversy or claim cannot be settled and resolved by the parties through discussion and negotiation, then the parties shall refer such dispute to arbitration. Both parties may agree upon a single arbitrator or either party shall appoint one arbitrator and the two appointed arbitrators shall thereupon appoint a third arbitrator. The arbitration shall be conducted in English and a written order shall be prepared. The venue of the arbitration shall be Kolkata. The arbitration shall be held in accordance with the Arbitration and Conciliation Act, 1996. The decision of the arbitrator shall be final and binding upon the parties, provided that each party shall at all times be entitled to obtain equitable, injunctive or similar relief from any court having jurisdiction in order to protect its intellectual property and confidential information.

## **1.8 CONSULTANT'S SELECTION/EVALUATION PROCESS:**

### **1.8.1 Technical Bid Evaluation:**

First, Technical bid documents will be examined from the Eligibility Criteria angle. Bidders, who fulfill the eligibility criteria conditions related to bidder's financial stability and experience fully as mentioned in Clause no. 1.3, Section III, their bids only will be taken up for further evaluation/selection process rejecting the remaining bids.

The evaluation/selection process will be done with **combination of, technical competence and commercial aspects** as detailed here below. A maximum of 100 marks will be allocated for the technical bid. 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 75 marks (cut-off score) out of 100 marks in the technical evaluation shall not be considered for selection process. Once the evaluation of technical proposals is completed, the bidders who score more than the prescribed cut-off score will only be short listed.

**In case, none of the participating bidders qualify on technical criteria and reach or exceed the cut-off score of 75, then the Bank, at its sole discretion, may relax the cut-off score to a lower value, which, in any case, should not fall below 60. In case at least 2 participants are not found with score 60 or above but below 75, the instant process would be cancelled and Bank reserved the right to go in for retendering process.**

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

1. Prior experience of the bidder in undertaking projects of similar nature.
2. Professional qualifications and experience of the key staff proposed/ identified for this assignment.
3. Methodology/Approach proposed for accomplishing the proposed projects/assignments/work.
4. Activities/tasks, project planning, resource planning, effort estimate etc.

Various stages of technical evaluation are presented below:

1. Paper evaluation based on response
2. Arriving at the final score on technical proposal after Presentation – cum – Interview.

#### **Presentation-cum-Interview:**

The bidders of this RFP have to give presentation/interactions before panel of representatives of Bank on the methodology/ approach, time frame for various activities, strengths of the bidders in consultancy on such projects. The technical competence and capability of the bidder should be clearly reflected in the presentation. *If any short listed bidder fails to make such presentation, they will be eliminated from the selection process.*

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.

The commercial proposals of technically short listed bidders will then be opened.

### **1.8.2 Commercial Bid Evaluation Criteria:**

It may be noted that commercial bids will be subjected to following evaluation process.

Under COCCBS (Cost Evaluation under Combined Quality cum Cost Based System), the technical proposals will be allotted weightage of 70% while the financial proposals will be allotted weightage of 30%.

Proposal with a lowest cost may be given a financial score of 100 and other proposals given financial scores that are inversely proportional to their prices.

The total score, both technical and financial, shall be obtained by weighing the quality and cost scores and adding them up. **The proposed weightages for quality and cost shall be specified in the RFP.**

**Highest point basis:** On the basis of the combined weighted score for quality and cost, the consultant shall be ranked in terms of the total score obtained. The proposal obtaining the highest total combined score in evaluation of quality and cost will be ranked as H-1 followed by the proposals securing lesser marks as H-2, H-3 etc. The proposal securing the highest combined marks and ranked H-1 will be invited for negotiations, if required and shall be recommended for award of contract.

***As an example, the following procedure can be followed.***

*In a particular case of selection of consultant, it was decided to have minimum qualifying marks for technical qualifications as 75 and the weightage of the technical bids and financial bids was kept as 70:30. In response to the RFP, 3 proposals, A, B & C were received. **The technical evaluation committee awarded them 75, 80 and 90 marks respectively.** The minimum qualifying marks were 75. All the 3 proposals were, therefore, found technically suitable and their financial proposals were opened after notifying the date and time of bid*

opening to the successful participants. The price evaluation committee examined the financial proposals and evaluated the quoted prices as under:

<u>Proposal</u>	<u>Evaluated cost</u>
A	₹ 120.00
B	₹ 100.00
C	₹ 110.00

Using the formula  $LEC/EC$ , where  $LEC$  stands for lowest evaluated cost and  $EC$  stand for evaluated cost, the committee gave them the following points for financial proposals:

A:	$100/120 = 83$ points
B:	$100/100 = 100$ points
C:	$100/110 = 91$ points

In the combined evaluation, thereafter, the evaluation committee calculated the combined technical and financial score as under:

Proposal A:	$75 \times 0.70 + 83 \times 0.30 = 77.4$ points
Proposal B:	$80 \times 0.70 + 100 \times 0.30 = 86$ points
Proposal C:	$90 \times 0.70 + 91 \times 0.30 = 90.3$ points

The three proposals in the combined technical and financial evaluation were ranked as under:

Proposal A:	77.4 points	: H3
Proposal B:	86 points	: H2
Proposal C:	90.3 points	: H1

Proposal C at the evaluated cost of ₹110.00 was, therefore, declared as winner and recommended for negotiations/approval, to the competent authority.

### 1.8.3 Technical Evaluation Criteria

Technical criteria are classified under 3 heads - Credentials, People and Reference checks. The table below highlights the parameters under the technical criteria and scoring methodology.

Criteria	Evaluation Parameters	Max Marks	Scoring Methodology
<b>Credentials</b>	1. Should have prior experience in performing consultancy services comprising of IT strategy to vendor evaluation and selection and project management beyond 100% CBS in a public sector Bank with Finacle application as CBS . Proof of such work and completion should be submitted along with the response. The projects should have commenced and completed in the last 6 years from the date of issuance of this RFP	25	<ul style="list-style-type: none"> <li>▪ Full marks- if the criteria are met for 5 or more public sector Commercial Banks</li> <li>▪ 20 marks – if the criteria is met for 4 public sector Commercial Banks</li> <li>▪ 15 marks – if the criteria is met for 3 public sector Commercial Banks</li> <li>▪ 10 marks – if the criteria is met for 2 public sector Commercial Banks</li> <li>▪ 5 marks – if the criteria is met for 1 public sector Commercial Bank</li> <li>▪ Nil – if criteria is not met for any public sector Commercial Banks</li> </ul>
	2. Should have prior experience in project management of implementation of and providing Consultancy for network architecture, security architecture, data centre, Disaster recovery	25	<ul style="list-style-type: none"> <li>▪ Full marks- if the criteria are met for 5 or more public sector Commercial Banks</li> <li>▪ 20 marks – if the criteria is met for 4 public sector Commercial Banks</li> <li>▪ 15 marks – if the criteria is met for 3 public sector</li> </ul>

Criteria	Evaluation Parameters	Max Marks	Scoring Methodology
	and Business Continuity for Public Sector Banks in India. Successful completion certificates from the Bank needs to be furnished along with the response		<p>Commercial Banks</p> <ul style="list-style-type: none"> <li>▪ 10 marks – if the criteria is met for 2 public sector Commercial Banks</li> <li>▪ 5 marks – if the criteria is met for 1 public sector Commercial Bank</li> <li>▪ Nil – if criteria is not met in any public sector Commercial Bank</li> </ul>
	3. Should have a continued long association on retainer basis or otherwise with Public sector Banks for technology consultancy assignments beyond 100% CBS. (i.e. the services of the consultant for technical consultancy should be ongoing on a continuous basis and in force till date of bidding.) This is what is meant by continued long association over a period of time	20	<ul style="list-style-type: none"> <li>▪ Full marks – If the SP has a continued long association equal to 4 years in 2 public sector Commercial Banks</li> <li>▪ 15 marks – If the SP has a continued long association equal to 3 years in 2 public sector Commercial Bank</li> <li>▪ 10 marks – If the SP has a continued long association equal to 2 years in 1 public sector Commercial Bank</li> <li>▪ 5 marks – If the SP has a continued long association equal to 1 year in 1 public sector Commercial Bank</li> <li>▪ Nil – for association with a public sector Commercial Bank less than 1 year</li> </ul>
	<b>Sub-Total</b>	<b>70</b>	
<b>People</b>			
	4. The SP should have a pool of resources (at least 2 resources) in the below mentioned areas. The resources should have at least worked in the respective areas for at least 1 public sector Commercial Bank in India and should be with the firm for at least a period of 2 years.  The areas of expertise are :	20	

Criteria	Evaluation Parameters	Max Marks	Scoring Methodology
	IT strategy formulation	4	<ul style="list-style-type: none"> <li>▪ 4 marks – 4 resources who have experience in 4 public sector Commercial Banks in India and with the firm for 2 years</li> <li>▪ 3 marks – 3 resources who have experience in 3 public sector Commercial Banks in India and with the firm for 2 years</li> <li>▪ 2 marks - 2 resources who have experience in 2 public sector Commercial Banks in India and with the firm for two years</li> <li>▪ 1 mark - 2 resources who have experience in 1 public sector Commercial Bank in India and with the firm for two years</li> <li>▪ Nil – Others</li> </ul>
	Network and Security Strategy, Hardware sizing and acceptance testing and Project management of implementation	4	<ul style="list-style-type: none"> <li>▪ 4 marks – 4 resources who have experience in working on projects with 3 public sector Commercial Banks in India</li> <li>▪ 3 marks – 3 resources who have experience in 3 public sector Commercial Banks in India</li> <li>▪ 2 marks - 2 resources who have experience in 2 public sector Commercial Banks in India and with the firm for two years</li> <li>▪ 1 mark - 2 resources who have experience in 1 public sector Commercial Bank in India and with the firm for two years</li> <li>▪ Nil – Others</li> </ul>
	Disaster Recovery and Business Continuity Plan and project management of implementation	4	<ul style="list-style-type: none"> <li>▪ 4 marks – 4 resources who have experience in 3 public sector Commercial Banks in India and with the</li> </ul>

Criteria	Evaluation Parameters	Max Marks	Scoring Methodology
			firm for 2 years <ul style="list-style-type: none"> <li>▪ 3 marks – 3 resources who have experience in working on projects with 3 public sector Commercial Banks in India and with the firm for 2 years</li> <li>▪ 2 marks - 2 resources who have experience in 2 public sector Commercial Banks in India and with the firm for two years</li> <li>▪ 1 mark - 2 resources who have experience in 1 public sector Commercial Bank in India and with the firm for two years</li> <li>▪ Nil – Others</li> </ul>
	Vendor evaluation and selection of delivery channels and project management of implementation	4	<ul style="list-style-type: none"> <li>▪ 4 marks – 4 resources who have experience in 4 public sector Banks in India and with the firm for 2 years</li> <li>▪ 3 marks – 3 resources who have experience in 3 public sector Banks in India and with the firm for 2 years</li> <li>▪ 2 marks - 2 resources who have experience in 2 public sector Banks in India and with the firm for two years</li> <li>▪ 1 mark - 2 resources who have experience in 1 public sector Bank in India and with the firm for two years</li> <li>▪ Nil – Others</li> </ul>
	If either of Engagement Manager/Overall Person responsible is having qualification :CISA/CISSP/CSQA/CAIIB	2	<ul style="list-style-type: none"> <li>▪ Full marks – IF ONE Personnel is having any one of the qualifications</li> <li>▪ Nil – Others</li> </ul>
	If team members are	2	<ul style="list-style-type: none"> <li>▪ 1 Mark per member; if any</li> </ul>

Criteria	Evaluation Parameters	Max Marks	Scoring Methodology
	qualified CISA/CISSP/CSQA/CAIIB		member possesses one or multiple qualifications ▪ Full Marks if 2 personnel meet the criteria
	<b>Sub-Total</b>	<b>20</b>	
<b>Approach and Methodology</b>	Demonstration of in-depth understanding of the Bank project requirements through the technical proposal supplemented by Presentation & interactions.	10	Subjective Evaluation
	<b>Sub-Total</b>	<b>10</b>	
	<b>Total Marks</b>	<b>100</b>	<b>Total score out of hundred</b>

**Experience with commercial banks in Private Sector in India is acceptable; however marks will be awarded at 50% of the rate applicable for Public Sector Banks.**

**Note :**

1. Banks exclude RRBs and Cooperative Banks
2. Public sector and commercial banks mean public sector and commercial banks in India only
3. The SP is required to provide documentary evidence for each of the above criteria and the same would be required on the client's letter head /Letter of engagement/agreement to the satisfaction of the Bank.

**1.9 Project Timelines:**

The SP is required to meet the Project timelines for each work/assignment advised at the time of respective assignment.

## ANNEXURE- A

### Technical Proposal format:

Particulars to be provided by the bidder in the technical proposal –

No	Particulars	Details to be furnished by the bidder
1	Name of the bidder	
2	Year of establishment and constitution Certified copy of "Partnership Deed" or "Certificate of Incorporation" should be submitted as the case may be.	
3	Location of Registered office /Corporate office and address	
4	Mailing address of the bidder	
5	Names and designations of the persons authorized to make commitments to the Bank	
6	Telephone and fax numbers of contact persons	
7	E-mail addresses of contact persons	
8	Details of : Description of business and business background Service Profile & client profile Domestic & International presence Alliance and joint ventures	
9	Gross revenue of the bidder (not of the group) Year 2007-08 Year 2008-09 Year 2009-10	
10	Net Profit of the bidder (not of the group) Year 2007-08 Year 2008-09 Year 2009-10	
11	Approach and methodology for the proposed scope of work along with Illustrative deliverables	

No	Particulars	Details to be furnished by the bidder
12	Details of prior experience in performing consultancy services comprising of IT strategy to vendor evaluation and selection and project management beyond 100% CBS .Proof of such work and completion should be submitted along with the response .	
13	Should have met conditions mentioned above under Point 1 with Finacle as Core Banking Solution.	
14	Should have prior experience in project management of implementation of and providing Consultancy for network architecture, security architecture, Disaster recovery and Business Continuity for Public Sector Bank's in India. Successful completion certificates from the Bank needs to be furnished along with the response.	
15	Should have a continued long association on retainer basis or otherwise with Public sector Banks for technology consultancy assignments beyond 100% CBS. (i.e. the services of the consultant for advisory and technical consultancy should be ongoing on a continuous basis and in force till date of bidding.) This is what is meant by continued long association over a period of time.	
16	Details of the bidder's proposed methodology/approach for providing services to the Bank with specific reference to the scope of work.	
17	Name of overall person responsible: Name of the Engagement Manager with their qualifications & experience	As per Annexure-E
18	Name of Other Team members, their qualifications & experience	As per Annexure-E

**Declaration:**

1. We confirm that we will abide by all the terms and conditions contained in the RFP.
2. 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 short listing of bidders.
3. 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.
4. We confirm that this response, for the purpose of short-listing, is valid for a period of six months, from the date of expiry of the last date for submission of response to RFP.
5. We confirm that we have noted the contents of the RFP and have ensured that there is no deviation in filing our response to the RFP and that the Bank will have the right to disqualify us in case of any such deviations.

Place:

Date :

Seal & Signature of the Bidder

**ANNEXURE - B**

**Commercial Bid Format**

Scope of Work	Resource Level	Cost / Man day	Man Days per Annum assumed (290 working days)	Total Cost (a*b)
		(a)	(b)	(c)
Scope of work as defined in Clause 1.2	Team Member		290	
	Senior resource		290	
	Total Cost	XXXXXXXX	XXXXXXXX	
<b>Fees for 1 Resource at average cost (Total Cost / 2)</b>				

**Terms & Conditions:**

- The fee per man-day rates quoted above is in lump sum (fixed price) amount and any additional amount will not be payable by the Bank for whatsoever reasons during the contract period of 36 months, extendable to further 24 months.
- For any given work/assignment, the chosen SP will submit to the Bank the estimate of total Efforts & fees applying the agreed Per Man-day rates for the resources. However the total fee must not exceed the product of total Man days required and agreed per Man Day rate for Average Resource.
- The fee quoted is exclusive of service tax if any applicable and any other Government cess/levies as may be in force.
- Bank will deduct applicable TDS, if any, as per the law of the land.
- The fee quoted also includes the cost of deliverables for all the phases of the Project.
- Further, we confirm that we will abide by all the terms and conditions mentioned in the Request for Proposal document.

Place :

Date :

Seal & Signature of the Bidder

Note:

- The price quoted for the project should be an all excluding price including any taxes, duties & Govt. levies.
- The base location for the project execution would be at Kolkata
- Any travel outside of Kolkata for field work would have to be agreed with the Bank. Such travel would be in line with the Bank’s eligibility at the level of Chief Manager
- The SP will have to work as per the timing of the Bank
- The man days are only illustrative and used for the purpose of arriving at lease prices/least quote. The actual man days will be dependent on the work to be performed
- All prices to be valid for a period of 3 years extendable to further 2 years at sole discretion of the Bank at the same man day rate from the date of contract execution / signing
- The Bank reserve the right to renew the contract post completion of the 5 year period at mutually agreed man day rates

**Resource Level Mapping**

Sl. No.	Level of Resources	Designations / equivalent designations falling under this category
1	Team Member	Consultants / Sr. Consultants / Asst. Managers /Managers
2	Senior Resource	Partner / Director / Managing Director / Sr. Managers / Vice President / Executive Director / Deputy Director /Manager / Asst. Vice President / Senior Prof. of top B-schools or Engineering Colleges

The resources would be appointed on a project requirement made known by the bank only if they meet the aforementioned categorization as indicated in the table above and after obtaining prior approval from the bank.

**ANNEXURE -C**  
**Compliance Certificate**

To  
**General Manager (IT),**  
**UCO Bank,**  
**Head Office - 2,**  
**3 & 4, DD Block, Sector-1, Salt Lake**  
**Kolkata – 700 064**

Date :

Dear Sir,

Ref: -

1. Having examined the Request for Proposal (RFP) including all annexure, the receipt of which is hereby duly acknowledged, we, the undersigned offer to provide the desired services for the **End-to-End Technical and Project Management Consultancy on a Retainer basis in UCO Bank** in conformity with the said RFP and in accordance with our proposal and the schedule of Prices indicated in the Price Bid and made part of this bid.
2. If our Bid is accepted, we undertake to complete the project within the scheduled time lines.
3. We confirm that this offer is valid for six months from the last date for submission of RFP to the BANK.(RFP closing date)
4. This Bid, together with your written acceptance thereof and your notification of award, shall constitute a binding Contract between us.
5. We undertake that in competing for and if the award is made to us, in executing the subject Contract, we will strictly observe the laws against fraud and corruption in force in India namely "Prevention of Corruption Act 1988".
6. We agree that the Bank is not bound to accept the lowest or any Bid that the Bank may receive.
7. We have not been barred/black-listed by any regulatory / statutory authority and we have the required approval to be appointed as a consultant to provide the services to Bank.
8. We shall observe confidentiality of all the information passed on to us in course of the tendering process and shall not use the information for any other purpose than the current tender.

Signed Dated

Seal & Signature of the Bidder

Phone No.:

Fax:

E-mail:

**ANNEXURE -D**

Estimated Effort and Elapsed Time (Format to be used for submission of estimates for individual work/assignment as and when assigned)

SI N O	Activities	Elapsed Time	Effort in Man days	Number of team members who will be deployed	Remar ks

Place:

Date:

Seal and Signature of the Bidder

**ANNEXURE - E**

**Proposed Team Profile**

Sl No	Project Scope	Name of the team member	Qualifications and certifications	Previous Banks where team member was associated	Duration of team member association	No. of years of experience
1	Drafting of Master Agreement for Facility Management of CBS					
2	Defining of Technology Roadmap					
3	Providing assistance to the Bank on all IT related aspects					
4	Providing assistance to the Bank in vendor evaluation and selection for IT related products, services & Projects					
5	Providing Testing Services					
6	Providing project management assistance to the Bank for implementation of IT projects					
7	Providing assistance to the Bank on IT transformation					
8	Providing assistance to the Bank for switch-over from outsourced model to the In-house managed model					

9	Providing assistance to the Bank to implement IT governance framework					
10	Providing assistance to the Bank for review, modification and formulation of IT related Policies including Business Continuity Plan					

We hereby acknowledge that the information provided by us is true and to the Best of our Knowledge

Place:

Date:

Seal and signature of the Bidder

**ANNEXURE -F**

**Comments on the Terms & Conditions, Services and Facilities provided:**

Please provide your comments on the Terms & Conditions in this section. You are requested to categorize your comments under appropriate headings such as those pertaining to the Scope of work, Approach, Work plan, Personnel schedule, Terms & Conditions etc. You are also requested to provide a reference of the page number, state the clarification point and the comment/ suggestion/ deviation that you propose as shown below.]

Sr. No.	Page	Section/Clause	Clarification point as stated in the tender document	Comment/ Suggestion/ Deviation
1				
2				
3				
4				
5				
6				
7				
8				
9				

**End of Document**

**UCO Bank,  
IT Department  
Head Office - 2,  
3 & 4, DD Block, Sector-1, Salt Lake  
Kolkata – 700 064**