

Request for Proposal (RFP)

For

Procurement of Comprehensive Anti-Money & Trade Based Money Laundering Solution for Hongkong & Singapore Centres



Head Office-2
Department of Information Technology
5th Floor, 3 & 4 DD Block, Sector -1
Salt Lake, Kolkata-700 064

RFP Ref. No: UCO/DIT/3837/2021-22 Date: 29.01.2022

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

This document is prepared by UCO Bank for its RFP for Procurement of Comprehensive Anti-Money & Trade Based Money Laundering Solution for Hongkong & Singapore Centres. It should not be reused or copied or used either partially or fully in any form.

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While the document has been prepared in good faith, no representation or warranty, express or implied, is or will be made, and no responsibility or liability will be accepted by UCO Bank or any of its employees, in relation to the accuracy or completeness of this document and any liability thereof expressly disclaimed. The RFP is not an offer by UCO Bank, but an invitation for service provider's responses. No contractual obligation on behalf of UCO Bank, whatsoever, shall arise from the offer process unless and until a formal contract is signed and executed by duly authorized officials of UCO Bank and the Vendor.

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IV	Bid Security Declaration
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VI	Undertaking For Non-Blacklisting / Non-Debarment Of The Bidder
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X	Undertaking For Price Validity & Acceptance Of All Terms & Conditions Of RFP
XI	Undertaking For No Deviation
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XX	Masked Commercial Bid
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XXV	Restriction On Procurement Due To National Security
XXVI	Sizing Adequacy letter
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Bid Control Sheet

Tender Reference	RFP Ref. No: UCO/DIT/3837/2021-22 Date: 29.01.2022
Cost of Tender documents	Rs.25,000/- (Rupees Twenty Five Thousand Only)
Date of issue of RFP	29/01/2022
Date of commencement of sale of tender document	29/01/2022
Last date for submitting queries for the Pre-bid Meeting	09/02/2022 up to 1:00 PM
Pre-Bid meeting Schedule	11/02/2022 at 11.30 A.M. (Meeting would be done through Video-Conferencing)
Last Date and Time for receipts of tender bids	04/03/2022 at 04:00 PM
Opening of technical bids	04/03/2022 at 04:30 PM
Opening of Price Bid	Will be informed subsequently to technically qualified bidders.
Address of Communication	Chief Manager, Head Office-2 Department of Information Technology 7th Floor, 3 & 4 DD Block, Sector - 1 Salt Lake, Kolkata-700 064
Email address	hodit.proc@ucobank.co.in
Bids to be submitted	Tender box placed at: UCO BANK, Head Office-2, Department of Information Technology, 5th Floor, 3 & 4, DD Block, Sector – 1, Salt Lake, Kolkata-700 064.

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 under the NI act, the bids will be received till the specified time on next working day and will be opened at 04:30 PM. UCO Bank is not responsible for non-receipt of responses to RFP within the specified date and time due to any reason including postal holidays or delays. Any bid received after specified date and time of the receipt of bids prescribed as mentioned above, will not be accepted by the Bank. Bids once submitted will be treated as final and no further correspondence will be entertained on this. No bid will be modified after the specified date & time for submission of bids. No bidder shall be allowed to withdraw the bid.

PART-I

1. Introductions

UCO Bank, a body corporate, established under the Banking Companies (Acquisition and Transfer of Undertakings) Act 1970, having its Head Office at 10, B.T.M. Sarani, Kolkata-700001, India, and its Department of Information Technology at 3 & 4, DD Block, Sector – 1, Salt Lake, Kolkata – 700064, hereinafter called “the Bank”, is one of the leading public sector Banks in India having more than 3000+ Domestic Branches, two Overseas Branches one each at Singapore & Hong Kong Centres and 2300+ ATMs (including Biometric enabled ATMs), spread all over the country. All the branches of the Bank are CBS enabled through Finacle 10.x as a Core Banking Solution.

2. Overview or Objectives

UCO BANK is pleased to invite proposal of implementation of Anti-Money Laundering (AML) Solution from the prospective Bidders having proven past experience and competence in the field and offering services to various banks at different locations in India & abroad.

Proposed system should enhance experience by streamlined operations that will enable quicker reporting and complete latest regulatory requirements. The application software should be customized to suit entire requirement related to Anti-Money Laundering (AML) of the Bank and regulatory authorities (RBI, HKMA, MAS etc.).

3. Eligibility Criteria

Only those Bidders, who fulfils the following all eligibilities criteria, are eligible to respond to this RFP. Offers received from the bidders who do not fulfil any of the following eligibility criteria are liable to be rejected.

Sl. No.	Clause	Documents required
1	Bidder should be a limited company (Public/Private) registered in India under the Companies Act, 1956/2013 for the last 3 years as on RFP issuance date. Companies registered as MSME Entrepreneur & still categorized as MSME as on RFP submission date.	1. Certificate of Incorporation issued by Registrar of Companies along with 2. Copies of Memorandum of Association 3. Copies of Articles of Association 4. Shareholding pattern 5. PAN, TAN, GSTIN Certificate

	<p>Bidder/Partner/Investor must adhere cross border sharing/FDI/FEMA and other regulatory guidelines of Govt. of India.</p> <p>The bidder should not be a subsidiary of a foreign company.</p>	<p>and any other tax related document if applicable is required to be submitted along with the eligibility bid.</p> <p>Registration from DIC, KVIB, NSIC, KVIC, DIHH, UAA or any other body specified by Ministry of MSME.</p>
2	<p>The bidder should be an OEM / OSD or their authorized representative in India. In case OEM / OSD participates in the tender process directly, authorized representative will not be permitted to participate in the same tender process.</p>	<p>In case of an authorized representative, a letter of authorization (MAF) / OSD Authorization Form from original manufacturer / solution developer must be furnished in original (for proposed software and hardware) duly signed & stamped (As per Annexure – III).</p>
3	<p>The bidder should have a minimum annual turnover of Rs.15 Crores per year during the last three financial years i.e. 2018-19, 2019-20 & 2020-21. This must be the individual company turnover and not of any group of companies.</p>	<p>Copy of the audited balance sheet of the company for the consecutive last three financial years (2018-19, 2019-20 & 2020-21) should be submitted along with Chartered Accountant Certificate.</p>
4	<p>The bidder submitting the offer should have positive net-worth for the last three financial years i.e. 2018-19, 2019-20 & 2020-21. This must be the individual company turnover and not of any group of companies.</p>	<p>Copy of the audited balance sheet of the company for the consecutive last three financial years (2018-19, 2019-20 & 2020-21) should be submitted along with Chartered Accountant Certificate.</p>
5	<p>Bidder should have minimum one year of experience in Implementation of the proposed solution in any Public Sector Bank / Govt. Organization / Commercial Bank (Excluding RRB and Co-operative Banks) with more than 1500 offices/ branches in India.</p>	<p>Documentary evidence with relevant copies of Purchase Order/SLA along with Completion Certificates / Project Sign-Offs, payment invoices in the last three years including names of clients with Phone and Fax numbers, E-Mail IDs etc.</p>
OEM's Experience		
6	<p>The proposed solution should be Implemented in any schedule</p>	<p>Documentary evidence with relevant copies of Purchase</p>

	commercial Bank with more than 1500 offices/ branches in India.	Order/SLA along with Completion Certificates / Project Sign-Offs, payment invoices in the last three years including names of clients with Phone and Fax numbers, E-Mail IDs etc.
7	The proposed solution should be Implemented in overseas centres (Hongkong /Singapore) in any Indian schedule commercial Bank having more than 1500 offices/ branches in India.	Documentary evidence with relevant copies of Purchase Order/SLA along with Completion Certificates / Project Sign-Offs, payment invoices in the last three years including names of clients with Phone and Fax numbers, E-Mail IDs etc.
8	The proposed Anti-Money Laundering (AML) software should be running for at least three years in any schedule commercial Bank with more than 1500 offices/ branches in India.	Documentary evidence with relevant copies of Purchase Order/SLA along with Completion Certificates / Project Sign-Offs, payment invoices in the last three years including names of clients with Phone and Fax numbers, E-Mail IDs etc.
9	The bidder/OEM must have at least 25 skilled staff experienced in implementing AML Solution & should be able to deliver and support the proposed solution	Self-Declaration from the Solution OEM/bidder on the company's letter head signed by the authorised signatory.
10	Bidder company should have valid ISO 9001/ISO 27001 certification.	Copy of the relevant document
11	Bidder should not have been debarred / black-listed by any Bank or RBI or any other regulatory authority (HKMA, MAS etc.) or Financial Institutions in India as on date of RFP submission.	Undertaking to that effect should be submitted as per Annexure-VI.
12	The service provider should ensure that there are no legal proceedings / inquiries / investigations have been commenced / pending / threatened against service provider by any statutory or regulatory or investigative agencies or any other for which performance under the contract will get adversely affected / may get affected.	Self-declaration to this effect on the company's letterhead should be submitted.

Note :- In this tender process either authorized representative / distributor / dealer in India on behalf of Principal OEM (Original Equipment Manufacturer) or Principal OEM itself can bid but both cannot bid simultaneously. In such case OEM bid will only be accepted. If an agent / distributor submits bid on behalf of the Principal OEM, the same agent / distributor shall not submit a bid on behalf of another Principal OEM in the same tender for the same item or product.

The service provider must comply with all above-mentioned criteria. Non-compliance of any of the criteria will entail rejection of the offer summarily. Documentary Evidence for compliance to each of the eligibility criteria must be enclosed along with the bid together with references. Undertaking for subsequent submission of any of the required document will not be entertained under any circumstances. However, UCO Bank reserves the right to seek clarifications on the already submitted documents. Non-compliance of any of the criteria will entail rejection of the offer summarily. Any decision of UCO Bank in this regard shall be final, conclusive and binding upon the service provider.

PART-II: Invitation For Bids and Instructions To Bidders

1. Invitation for Bids

UCO Bank invites sealed tenders comprising of Eligibility Bid, Technical bid and Commercial bid from experienced Bidders having proven capabilities of providing Anti-Money Laundering (AML) Solution with 24x7 availability and correlated services. Against the above backdrop, UCO Bank Invites Request for Proposal (RFP) from the prospective Bidders having proven past experience and competence in the field of providing Supply, Installation, customization, configuration and maintenance of Anti-Money Laundering (AML) Solution and related services as per the technical / functional specifications given in this RFP document.

The selected Bidder is required to adhere to the terms of this RFP document and any deviations to the same shall not to be acceptable to UCO Bank.

The criteria and the actual process of evaluation of the responses to this RFP and subsequent selection of the successful Bidder will be entirely at Bank's discretion

2. Due Diligence

The Bidder is expected to examine all instructions, forms, terms and specifications in this RFP and study the RFP document carefully. Bid shall be deemed to have been submitted after careful study and examination of this RFP with full understanding of its implications. The Bid should be precise, complete and in the prescribed format as per the requirement of this RFP. Failure to furnish all information required by this RFP or submission of a Bid not responsive to this RFP in each and every respect will be at the Bidder's own risk and may result in rejection of the Bid and for which UCO Bank shall not be held responsible.

3. Tender Document and Fee

A complete set of tender document can be obtained from the following address during office hours on all working days on submission of a written application along with a non-refundable fee of **Rs.25, 000/- (Rupees Twenty-Five Thousand Only)** as Tender document Cost.

The tender document may also be downloaded from the bank's official website www.ucobank.com. The bidder downloading the tender document from the website is required to submit a non-refundable fee of **Rs. 25,000/- (Rupees Twenty-Five Thousand Only)** in the form of Demand Draft or Banker's Cheque in favor of UCO BANK, payable at Kolkata, or NEFT at the time of submission of the technical bid, failing which the bid of the concerned bidder will be rejected.

In case of bidders being an MSME under registration of any scheme of Ministry of MSME, they are exempted from the submission of Bid Security Declaration and the Tender Cost / Fee. A valid certificate in this regard issued by the Ministry of MSME has to be submitted.

. Bank details are as below:

Bank details for Tender Fee	Address for Obtaining printed copy of RFP
Account Number-18700210000755 Account Name- M/s H O DIT Branch- DD Block, Salt Lake branch IFSC- UCBA0001870 MICR-700028138	UCO Bank Head office, Department of Information Technology 7 th floor, 3&4 DD Block, Salt lake City, Sector-1, Kolkata – 700064 Ph. No.- 033- 4455 9433/9770

4. Bid Security Declaration

Bidder is required to submit along with its Bid a Bid Securing Declaration. The Bidder has to sign a Bid Securing Declaration accepting that the Bidder will be suspended for a period of 180 days from the time starting on Bid Submission Date for Bid participation in the tendering process of the Bank in future, if

- a) The bidder withdraws its Bid during the period of validity i.e. 180 days from the Bid due date; or
- b) The bidder is awarded the Contract and fails to sign the Contract; or
- c) The bidder fails to submit an unconditional and irrevocable performance security before the deadline defined in the request for bid documents; or
- d) The bidder makes any statement or encloses any form which turns out to be false, incorrect and/or misleading at any time prior to signing of contract and/or conceals or suppresses material information; or
- e) The bidder fails to submit the requisite documents as per the tender specification; or
- f) The bidder violates any of the provisions of the terms and conditions of this tender specification.

The Bid Securing Declaration shall be submitted as per the format at **Annexure - IV**.

5. Rejection Of The Bid

The Bid is liable to be rejected if:

- i. The document doesn't bear signature of authorized person on each page signed and duly stamp.
- ii. It is received through E-mail.

- iii. It is received after expiry of the due date and time stipulated for bid submission.
- iv. Incomplete Bids, including non-submission or non-furnishing of requisite documents / Conditional Bids/ deviation of terms & conditions or scope of work/ incorrect information in bid / Bids not conforming to the terms and conditions stipulated in this Request for proposal (RFP) are liable for rejection by the Bank.
- v. Bidder should comply with all the points mentioned in the RFP. Non-compliance of any point will lead to rejection of the bid.
- vi. Any form of canvassing/lobbying/influence/query regarding short listing, status etc. will be a disqualification.
- vii. The bidder submits Incomplete Bids, including non-submission or non-furnishing of requisite documents / Conditional Bids / Bids not conforming to the terms and conditions stipulated in this Request for proposal (RFP).
- viii. Non-submission of Pre Contract Integrity Pact as per format given in Annexure – XIV.

6. Pre-Bid Meeting

The queries for the Pre-bid Meeting should reach us in writing or by email on or before the date mentioned in the Bid Control Sheet by e-mail to hodit.proc@ucobank.co.in. It may be noted that no query from any bidder shall be entertained or received after the above mentioned date. Queries raised by the prospective bidder and the Bank's response will be hosted at Bank's web site. No individual correspondence will be accepted in this regard.

Only authorized representatives, not more than two, of the bidder will be allowed to attend the Pre-bid meeting. Pre-Bid queries raised by the bidder(s) are to be submitted in the format given in Annexure-XIII.

7. Modification And Withdrawal Of Bids

No bid can be modified by the bidder subsequent to the closing date and time for submission of bids. In the event of withdrawal of the bid by successful bidders, the Bid security declaration will be forfeited by the bidder.

8. Information Provided

The RFP document contains statements derived from information that is believed to be 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 employees, agents, contractors, or advisers gives any representation or warranty, express or implied as to the accuracy or completeness of any information or statement given or made in this RFP document.

9. Clarification Of Offer

To assist in the scrutiny, evaluation and comparison of offers/bids, UCO Bank may, at its sole discretion, ask some or all bidders for clarification of their offer/bid. The request for such clarifications and the response will necessarily be in writing and no change in the price or substance of the bid shall be sought, offered or permitted. Any decision of UCO Bank in this regard shall be final, conclusive and binding on the bidder.

10. Late Bids

Any bid received by the Bank after the deadline (Date and Time mentioned in Bid Details table / Pre Bid / subsequent addenda / corrigenda) for submission of bids will be rejected and / or returned unopened to the bidder.

11. Issue Of Corrigendum

At any time prior to the last date of receipt of bids, Bank may, for any reason, whether at its own initiative or in response to a clarification requested by a prospective bidder, modify the RFP document by a Corrigendum. Any such corrigendum shall be deemed to be incorporated into this RFP.

12. For Respondent Only

The RFP document is intended solely for the information to the party to whom it is issued ("the Recipient" or "the Respondent") and no other person or organization.

13. 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.

14. MSME

As per recommendations of GOI, Bank has decided to waive off EMD and tender cost for NSIC registered MSME entrepreneurs.

- i. Exemption from submission of EMD and Tender Fee / Cost shall be given to bidders who are Micro, Small & Medium Enterprises (MSME) and registered under provisions of the Policy i.e. registration with District Industries Centre (DIC) or Khadi and Village Industries Commission (KVIC) or Khadi and Industries Board (KVIB) or Coir Board or National Small Industries Commission (NSIC) or directorate of Handicrafts and Handlooms or Udyog Aadhaar Memorandum or any other body specified by Ministry of MSME. Bids received without EMD and tender cost from bidders not having valid NSIC registered documents for exemption will not be considered.
- ii. To qualify for EMD & Tender Fee / Cost exemption, firms should necessarily enclose a valid copy of registration certificate which is valid on last date of submission of the tender documents. MSME firms who are in the process of obtaining registration will not be considered for EMD & Tender Fee / Cost exemption. (Traders are excluded who are engaged in trading activity without value addition / branding / packing. In such a case they will have to submit EMD and Tender Cost).
- iii. MSME bidder has to submit a self-declaration accepting that if they are awarded the contract and they fail to sign the contract or to submit a Performance Bank Guarantee before the deadline defined by the Bank, they will be suspended for a period of three years from being eligible to submit bids for contracts with the Bank.
- iv. Bids received without EMD for bidders not having valid NSIC registered documents for exemption will not be considered. Bids received without EMD for bidders not having valid registration documents for exemption will not be considered. However, Performance Bank Guarantee has to be submitted by the bidder under any circumstance.

15. Costs Borne By Respondents

All costs and expenses incurred by Recipients / 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 Recipient / Respondent.

16. No Legal Relationship

No binding legal relationship will exist between any of the Recipients / Respondents and Bank until execution of a contractual agreement.

17. Cancellation Of Tender Process

- a. UCO Bank reserves the right to accept or reject in part or full any or all offers at its sole discretion at any stage without assigning any reason thereof and without any cost or compensation therefor. Any decision of UCO Bank in this regard shall be final, conclusive and binding upon the bidders.
- b. The Bank reserves the right to accept or reject any Bid in part or in full, and to cancel the Bidding process and reject all Bids at any time prior to contract award, without thereby incurring any liability to the affected Bidder or Bidders or any obligation to inform the affected Bidder or Bidders of the grounds for Bank's action.

18. Corrupt And Fraudulent Practices

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:

"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

"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.

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.

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.

19. Non-Transferrable Offer

This Request for Proposal (RFP) is not transferable. Only the bidder who has purchased this document in its name or submitted the necessary RFP price (for downloaded RFP) will be eligible for participation in the evaluation process.

20. Address Of Communication

Offers / bid should be addressed to the address given in bid control sheet.

21. Period Of Bid Validity

Bids shall remain valid for 180 (One Hundred and Eighty) days after the date of bid opening prescribed by UCO Bank. UCO Bank holds the rights to reject a bid valid for a period shorter than 180 days as non-responsive, without any correspondence. In exceptional circumstances, UCO Bank may solicit the bidder's consent to an extension of the validity period. The request and the response thereto shall be made in writing. Extension of validity period by the bidder should be unconditional and irrevocable. The Bid Security provided shall also be suitably extended. A bidder acceding to the request will neither be required nor be permitted to modify its bid. A bidder may refuse the request without forfeiting its bid security. In any case the bid security of the bidders will be returned after completion of the process.

22. No Commitment To Accept Lowest Or Any Bid

UCO Bank shall be under no obligation to accept the lowest or any other offer received in response to this RFP and shall be entitled to reject any or all offers including those received late or incomplete offers without assigning any reason whatsoever. UCO Bank reserves the right to make any changes in the terms and conditions of purchase. UCO Bank will not be obliged to meet and have discussions with any bidder, and or to listen to any representations.

23. Errors And Omissions

Each Recipient should notify Bank of any error, omission, or discrepancy found in this RFP document in the form of pre-bid queries within the time as given in control sheet.

24. Acceptance Of Terms

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

25. RFP Response

If the response to this RFP does not include the information required or is incomplete or submission is through Fax mode or through e-mail, the response to the RFP is liable to be rejected.

All submissions will become the property of Bank. Recipients 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 Recipients 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 Banking documents.

26. Notification

Bank will notify the Respondents in writing as soon as possible about the outcome of the RFP evaluation process, including whether the Respondent's RFP response has been accepted or rejected. Bank is not obliged to provide any reasons for any such acceptance or rejection.

27. Erasures Or Alterations

The Bid should contain no alterations, erasures or overwriting except as necessary to correct errors made by the Bidder, in which case corrections should be duly stamped and initialled / authenticated by the person/(s) signing the Bid.

28. Clarifications on and Amendments to RFP document

Prospective bidders may seek clarification on the RFP document by letter/fax/e-mail till the date mentioned in the bid control sheet. Further, at least 7 days' time prior to the last date for bid-submission, the Bank may, for any reason, whether at its own initiative or in response to clarification(s) sought from prospective bidders, modify the RFP contents by amendment. Clarification /Amendment, if any, will be notified on Bank's website.

29. Language Of Bids

The bid as well as all correspondence and documents relating to the bid exchanged by the bidder and the Bank shall be in English language only.

30. Authorized Signatory

The bid shall be signed by a person or persons duly authorized by the Bidder with signature duly attested. In the case of a body corporate, the bid shall be signed by person who is duly authorized by the Board of Directors / Competent Authority of the bidder or having Power of Attorney.

The selected bidder shall indicate the authorized signatories who can discuss, sign negotiate, correspond and any other required formalities with the bank, with

regard to the obligations. The selected bidder shall submit, a certified copy of the resolution of their Board certified by Company Secretary along with Power of Attorney duly stamped, authorizing an official or officials of the company to discuss, sign with the Bank, raise invoice and accept payments and also to correspond.

The bidder shall furnish proof of signature identification for above purposes as required by the Bank.

31.Submission of Offer – Three Bid System

UCO Bank will follow Three Bid System i.e. Separate **Eligibility Bid** – containing Eligibility Information, Tender Fee, Earnest Money Deposit in the form of Bank Guarantee OR certificate from Ministry of MSME (wherever required) and Pre Contract Integrity Pact, **Technical Bid** – containing Technical Information, Masked Commercial Bid & Masked Bill of Materials and **Commercial Bid** – containing Price Information along with the soft copies (preferably in non-optical storage) duly sealed and super-scribed as – **RFP for Procurement of Comprehensive Anti-Money & Trade Based Money Laundering Solution for Hongkong & Singapore Centers (Eligibility Bid)**, – **RFP for Procurement of Comprehensive Anti-Money & Trade Based Money Laundering Solution for Hongkong & Singapore Centers (Technical Bid)** and – **RFP for Procurement of Comprehensive Anti-Money & Trade Based Money Laundering Solution for Hongkong & Singapore Centers (Commercial Bid)** as per the format prescribed in Annexure – XXI respectively should be put in a single sealed outer cover duly sealed and super-scribed as – **RFP for Procurement of Comprehensive Anti-Money & Trade Based Money Laundering Solution for Hongkong & Singapore Centers** as per the bid details given in the RFP.

Eligibility evaluation would be completed first followed by Technical & Functional evaluation. Thereafter, Price Information (Commercial Bid) of the eligible & technically qualified Bidders will be opened and Lowest Bidder (L1) will be selected based on the Total Amount quoted in the commercial bid. The bids (along with soft copy preferably in non-optical drives) shall be dropped/submitted at UCO Bank's address given in Bid Control Sheet Table, on or before the date specified therein.

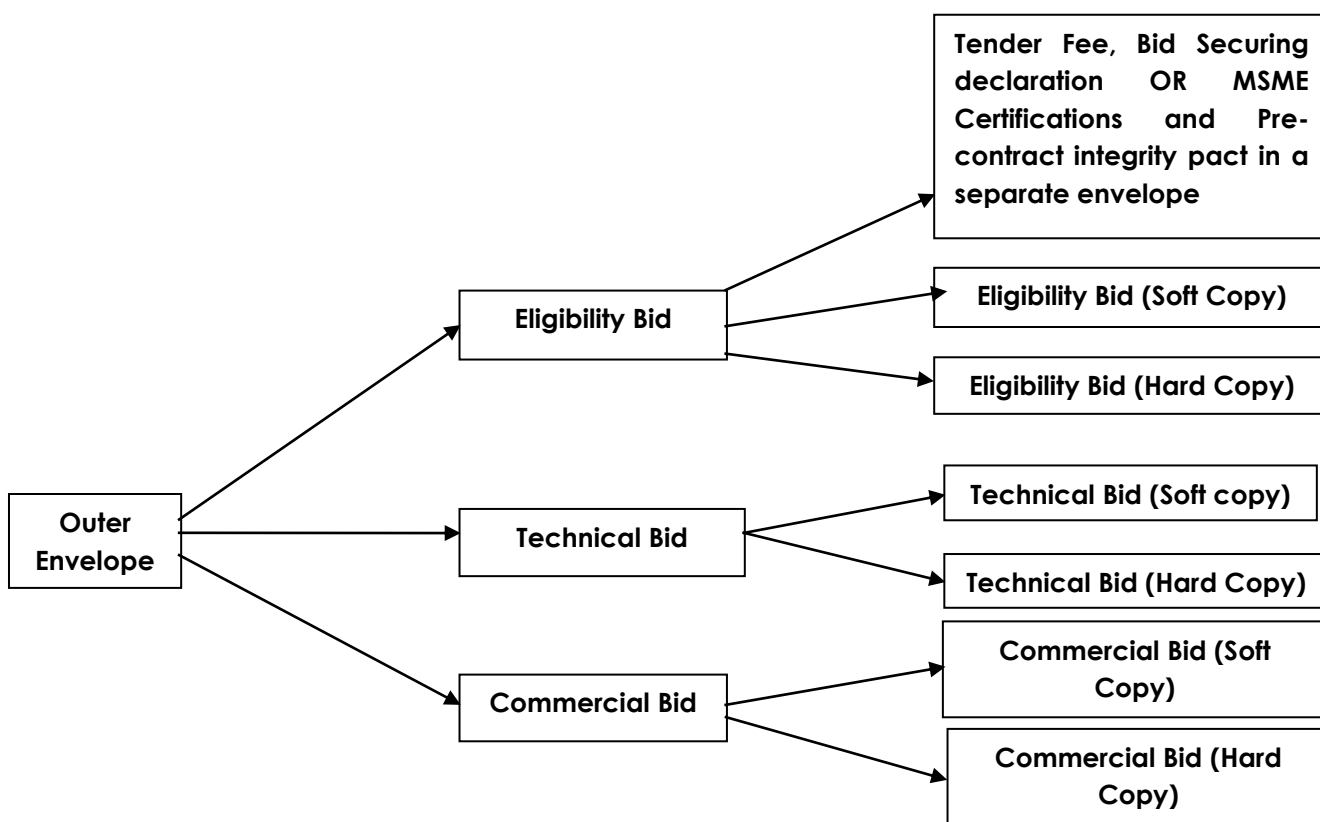
All envelopes must be super-scribed with the following information:

- Name of the Bidder
- Offer Reference
- Type of Offer (Eligibility or Technical or Commercial)

The Eligibility and Technical Offers should be complete in all respects and contain all information asked for, in the exact format of eligibility and technical specifications given in the RFP, except prices along with the Tender Fee, Earnest Money Deposit in the form of Bank Guarantee and the Pre Contract Integrity Pact on a non-judicial stamp paper of requisite value. Tender Offer forwarding letter prescribed in Annexure – I should be submitted with the Eligibility / Technical Offer. The Eligibility and Technical offers must not contain any price information. UCO BANK, at its sole discretion, may not evaluate Eligibility or Technical Offer in case of non-submission or partial submission of eligibility or technical details. Any decision of UCO BANK in this regard shall be final, conclusive and binding upon the Bidder. The Technical bid should have documentary proof in support of Eligibility Criteria and Annexures.

The entire RFP, Pre-bid responses along with all the Addenda and Corrigenda should be stamped & signed by the authorized signatory of the participating Bidder and to be submitted to the Bank with all other documents as part of the Eligibility bid.

The envelopes separately should contain the documents in the order mentioned in the following diagram.



The Commercial Offer (Hard Copy) should contain all relevant price information as per **Annexure – XXI**.

All pages and documents in individual bids should be numbered as page no. – (Current Page No.) of page no – (Total Page No.) and should contain tender reference no. and Bank 's Name.

Note:

- a. The Technical bid should be complete in all respects and contain all information asked for, except prices. The documentary proof in support of all Eligibility Criteria should be submitted along with Eligibility Bid.
- b. One Separate envelope containing Tender Fee, Bid Security Declaration and Pre-Contract Integrity Pact should invariably be placed in Eligibility Bid envelope.
- c. If commercial bid is not submitted in a separate sealed envelope duly marked as mentioned above, this will constitute grounds for declaring the bid non-responsive.
- d. Bidders to submit a **masked commercial Bid** i.e. by hiding price commercial bid as per Annexure – XX with technical bid envelope to be submitted.
- e. If any inner cover / envelop of a bid is found to contain Eligibility/ Technical & Commercial Bids together then that bid will be rejected summarily.
- f. The Bank reserves the right to resort to re-tendering without providing any reason whatsoever. The Bank shall not incur any liability on account of such rejection.
- g. Canvassing of any kind or Bid submitted with false information will be a disqualification.
- h. The bidder is required to guarantee that exchange rate fluctuations, changes in import duty and other taxes will not affect the Rupee value of the commercial bid over the price validity period.
- i. Prices quoted by the Bidder shall be in Indian Rupees, firm and not subject to any price escalation, if the order is placed within the price validity period.
- j. Further, subsequent to the orders being placed, the Bidder shall pass on to Bank all fiscal benefits arising out of reductions in Government levies /taxes.
- k. The Bank reserves the right to modify any terms, conditions and specifications of this request for submission of offer and to obtain revised bids from the

bidders with regard to such changes. The Bank reserves the right to accept or reject any bid.

- l. Printed literature (for specific product and version numbers) describing configuration and functionality should be provided to the Bank for the products proposed to be supplied for the project. It should be noted that the product proposed will have to be supplied with all the software updates/fixes, if any, and associated documents. The bidder shall not quote for the products, whose End of sale/ End of Support/End of License has been declared by the OEM.
- m. The Bank reserves the right to resort to re-tendering without providing any reason whatsoever. The Bank shall not incur any liability on account of such rejection.
- n. Bids once submitted shall not be returned to the Bidder in future.
The selected bidder must adhere to the terms of this RFP document.

32. Adoption of Integrity Pact

UCO Bank has adopted practice of Integrity Pact (IP) as per CVC guidelines. The Integrity Pact essentially envisages an agreement between the prospective vendors / bidders / sellers, who commit themselves to Integrity Pact (IP) with the Bank, would be considered competent to participate in the bidding process. In other words, entering into this pact would be the preliminary qualification. In case of bids for the purchase of Goods, Services, and Consultancy etc. not accompanied with signed IP by the bidders along with the technical bid, the offers shall be summarily rejected. The essential ingredients of the Pact include:

- i. Promise on the part of the principal not to seek or accept any benefit, which is not legally available.
- ii. Principal to treat all bidders with equity and reason
- iii. Promise on the part of bidders not to offer any benefit to the employees of the Principal not available legally
- iv. Bidders not to enter into any undisclosed agreement or understanding with other bidders with respect to prices, specifications, certifications, subsidiary contract etc.
- v. Bidders not to pass any information provided by the Principal as part of business relationship to others and not to commit any offence under PC/IPC Act.

- vi. Foreign bidders to disclose the name and address of agents and representatives in India and Indian Bidders to disclose their foreign principals or associates.
- vii. Bidders to disclose any transgressions with any other company that may impinge on the anti-corruption principle.

Integrity Pact, in respect of a particular contract, shall be operative from the date IP is signed by both the parties till the final completion of the contract. Any violation of the same would entail disqualification of the bidders and exclusion from future business dealings. IP shall cover all phases of contract i.e. from the stage of Notice Inviting Tenders (NIT)/Request for Proposals (RFP) till the conclusion of the contract i.e. final payment or the duration of warrantee/guarantee. Format of IP is attached as **Annexure – XIV** for strict compliance.

The following Independent External Monitors (IEMs) have been appointed by UCO Bank, who will review independently and objectively, whether and to what extent parties have complied with their obligation under the pact.

1. Shri Ranjan S Katoch

A-91, Alkapuri,
Bhopal, MP- 462022
email: rkatoch@nic.in

2. Shri Hare Krushna Dash

House.No.829,Sector 8
Gandhinagar- 382007, Gujarat
email: hkdash184@hotmail.com

All pages of Integrity Pact (IP) must be signed and stamped Integrity Pact (IP) should be deposited with IT Department undertaken procurement at the address mentioned along with RFP document.

33. Preference to Make in India

The policy of the Govt. of India to encourage "Make in India" and promote manufacturing and production of goods and services in India, "Public Procurement (Preference to Make in India), Order 2017 and the revised order issued vide GOI, Ministry of Commerce and Industry, Department for Promotion of Industry and Internal trade, vide Order No. P-45021/2/2017-PP (BEII) dated 04.06.2020 will be applicable for this tender.

Purchase Preference: In procurement of all goods, services or works in respect of which Nodal Ministry/Department has communicated that there is sufficient local capacity and local competition, only "Class-I Local Supplier", as defined under the order, shall be eligible to bid irrespective of purchase value.

In procurements of goods or works which are divisible in nature, the "Class-I Local Supplier" shall get purchase preference over "Class-II Local Supplier" as well as "Non-Local Supplier", as per following procedure:

- Among all qualified bids, the lowest bid will be termed as L1. If L1 is 'Class-I local supplier', the contract for full quantity will be awarded to L1.
- If L1 bid is not a 'Class-I local supplier', 50% of the order quantity in toto shall be awarded to L1. Thereafter, the lowest bidder among the 'Class-I local supplier', will be invited to match the L1 price subject to Class-I local supplier's quoted price falling within the margin of purchase preference, and the contract for that quantity shall be awarded to such 'Class-I local supplier' subject to matching the L1 price for remaining quantity and so on , and contract shall be awarded accordingly. In case some quantity is still left uncovered on Class-I local suppliers then such balance quantity may also be ordered on the L1 bidder.

In procurement of goods or works which are not divisible in nature and in procurement of services where the bid is evaluated on price alone, the 'Class-I local supplier' shall get Purchase Preference over 'Class-II Local Supplier' as well as 'Non Local Supplier' as per following procedure:

- Among all qualified bids, the lowest bid will be termed as L1. If L1 is 'Class – I Local Supplier ', the contract will be awarded to L1.
- If L1 is not 'Class –I Local Supplier, the lowest bidder among the 'Class-I Local Supplier ', will be invited to match the L1 price subject to Class –I local suppliers quoted price falling with in the margin of purchase preference and the contract shall be awarded to such 'Class -I Local Supplier' subject to matching the L1 price.
- In case such lowest eligible 'Class-I local supplier' fails to match the L1 price, the 'Class-I local supplier ' with the next higher bid within the margin of Purchase Preference shall be invited to match the L1 price and so on and contract shall be awarded accordingly. In case of none of the 'Class-I Local Supplier' within the margin of Purchase Preference matches the L1 price, the contract may be awarded to the L1 bidder.

- "Class-II local supplier" will not get purchase preference in any procurement, undertaken by procuring entities.

33.1 For the purpose of Preference to Make in India, Order 2017 (PPP-MII Order):

- "Local content" means the amount of value added in India which shall be the total value of the item procured (excluding net domestic indirect taxes) minus the value of imported content in the item (including all customs duties) as a proportion of the total value, in percent.
- "**Class-I Local supplier**" means a supplier or service provider whose product or service offered for procurement has local content equal to or more than 50%.
- "**Class-II local supplier**" means a supplier or service provider, whose goods, services or works offered for procurement, has local content more than 20% but less than 50%.
- "**Non-Local Supplier**" means a supplier or service provider , whose goods , services or works offered for procurement , has local content less than or equal to 20%.
- "**Margin of purchase preference**" means the maximum extent to which the price quoted by a local supplier may be above the L1 for the purpose of purchase preference. The margin of purchase preference shall be 20%.

33.2 VERIFICATION OF LOCAL CONTENT:

- a. The 'Class-I local supplier'/'Class-II Local Supplier' at the time of tender, bidding or solicitation shall be required to indicate percentage of local content and provide self –certification that the item offered meets the local content requirement for 'Class –I Local Supplier'/'Class –II Local Supplier', as the case may be. They shall also give details of the location(s) at which the local value addition is made.
- b. In case of procurement for a value in excess of Rs 10 Crores , the 'Class-I Local Supplier/ 'Class-II Local Supplier ' shall be required to provide a certificate from the statutory auditor or cost auditor of the company (in case of companies) or from a practicing cost accountant or practicing chartered accountant (in respect of suppliers other than companies) giving the percentage of local content.

The local supplier at the time of submission of bid shall be required to provide a certificate as per **Annexure-XXIV** from the statutory auditor or cost auditor of the

company (in the case of companies) or from a practicing cost accountant or practicing chartered accountant (in respect of suppliers other than companies) giving the percentage of local content

The Bank shall follow all the guidelines/notifications for public procurement.

34. Restriction On Procurement Due to National Security

Any bidder from a country sharing a land border with India will be eligible to bid in this tender only if the bidder is registered with the Department for Promotion of Industry and Internal Trade (DPIIT). A copy of the valid Certificate to be attached with the Bid. Certificate as per the Annexure to be attached along with the Bid. Vide Ministry of Finance OM No. 6/18/2019-PPD dated 23rd July 2020.

Reference is made to Government of India order F. No. 7/86/2020/BOA-I dated 07.08.2020 on restrictions on procurements from bidders from a country or countries, on grounds of defence in India, or matters directly or indirectly, related thereto, including national security.

- i. Any bidder from a country which shares a land border with India will be eligible to bid in this tender only if the bidder is registered with the Competent Authority.
- ii. "Bidder" (including the term 'tenderer', 'consultant' or 'service provider' in certain contexts) means any person or firm or company, including any member of a consortium or joint venture (that is an association of several persons, or firms or companies), every artificial juridical person not falling in any of the descriptions of bidders stated hereinbefore, including any agency branch or office controlled by such person, participating in a procurement process.
- iii. "Bidder from a country which shares a land border with India" for the purpose of this Order means: -
 - a. An entity incorporated, established or registered in such a country; or
 - b. A subsidiary of an entity incorporated, established or registered in such a country; or
 - c. An entity substantially controlled through entities incorporated, established or registered in such a country; or
 - d. An entity whose beneficial owner is situated in such a country; or
 - e. An Indian (or other) agent of such an entity; or
 - f. A natural person who is a citizen of such a country; or

g. A consortium or joint venture where any member of the consortium or joint venture falls under any of the above

iv. The beneficial owner for the purpose of (iii) above will be as under:

In case of a company or Limited Liability Partnership, the beneficial owner is the natural person(s), who, whether acting alone or together, or through one or more juridical person, has a controlling ownership interest or who exercises control through other means.

Explanation:

a. "Controlling ownership interest" means ownership of or entitlement to more than twenty-five per cent. of shares or capital or profits of the company;

b. "Control" shall include the right to appoint majority of the directors or to control the management or policy decisions including by virtue of their shareholding or management rights or shareholders agreements or voting agreements;

1. In case of a partnership firm, the beneficial owner is the natural person(s) who, whether acting alone or together, or through one or more juridical person, has ownership of entitlement to more than fifteen percent of capital or profits of the partnership;

2. In case of an unincorporated association or body of individuals, the beneficial owner is the natural person(s), who, whether acting alone or together, or through one or more juridical person, has ownership of or entitlement to more than fifteen percent of the property or capital or profits of such association or body of individuals;

3. Where no natural person is identified under (1) or (2) or (3) above, the beneficial owner is the relevant natural person who holds the position of senior managing official;

4. In case of a trust, the identification of beneficial owner(s) shall include identification of the author of the trust, the trustee, the beneficiaries with fifteen percent or more interest in the trust and any other natural person exercising ultimate effective control over the trust through a chain of control or ownership.

v. An Agent is a person employed to do any act for another, or to represent another in dealings with third person.

The successful bidder shall not be allowed to sub-contract works to any contractor from a country which shares a land border with India unless such contractor is registered with the Competent Authority.

35. Other Terms and Conditions

- a. Cost of preparation and submission of bid document:** The bidder shall bear all costs for the preparation and submission of the bid. UCO Bank shall not be responsible or liable for reimbursing/compensating these costs, regardless of the conduct or outcome of the bidding process.
- b.** The Bank reserves the right to modify any terms, conditions and specifications of this request for submission of offer and to obtain revised bids from the bidders with regard to such changes. The Bank reserves its right to negotiate with any or all bidders. The Bank reserves the right to accept any bid in whole or in part.
- c.** The Bank reserves the right to reject any or all offers based on its own evaluation of the offers received, or on the basis of stability, capabilities, track records, reputation among users and other similar features of a bidder. When the Bank makes any such rejection, the Bank will not be bound to give any reason and/or justification in this regard to the bidder. The Bank further reserves the right to reject any or all offers or cancel the whole tendering process due to change in its business requirement.
- d. Response of the Bid:** The Bidder should comply all the terms and conditions of RFP.
- e.** The bidder is solely responsible for any legal obligation related to licenses during contract period for the solution proposed and Bidder shall give indemnity to that effect.
- f.** UCO Bank shall be under no obligation to accept the lowest or any other offer received in response to this offer notice and shall be entitled to reject any or all offers without assigning any reason whatsoever. UCO Bank has the right to re-issue tender/bid. UCO Bank reserves the right to make any changes in the terms and conditions of purchase that will be informed to all bidders. UCO Bank will not be obliged to meet and have discussions with any bidder, and / or to listen to any representations once their offer/bid is rejected. Any decision of UCO Bank in this regard shall be final, conclusive and binding upon the bidder.

Part-III- Bid Opening & Evaluation Criteria

1. Stages Of Evaluation

There would be Three (3) stages for evaluation process.

The Stages are:

- Eligibility Criteria Evaluation
- Technical Evaluation
- Commercial Evaluation

The Eligibility Criteria would be evaluated first for the participating bidders. The bidder, who qualify all Eligibility Criteria as mentioned in clause 3,Part-I, will be shortlisted for the Technical bid evaluation. A detailed technical evaluation would be undertaken for eligible bidders and only the technically qualified bidders would be shortlisted for commercial opening.

The Bank will open the technical bids, in presence of bidders' representative(s) who choose to attend, at the time and date mentioned in Bid document on the date and venue mentioned in control sheet. The bidders' representatives who will be present shall sign the register evidencing their presence / attendance.

The bidder with the lowest commercial quote will be declared L1.

1. Evaluation Methodology

The objective of evolving this evaluation methodology is to facilitate the selection of the most cost-effective solution (Total Cost of Ownership) over contract period that appropriately meets the requirements of the Bank.

2.1 Eligibility Evaluation

The Eligibility would be evaluated first for the participating bidders. The bidders, who would qualify all Eligibility Criteria as mentioned in the RFP, will be shortlisted for the Technical bid evaluation.

2.2 Technical & Functional Evaluation

a. 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 the RFP, their bids only will be taken up for further evaluation/selection process rejecting the remaining bids.

- b. The Bank will evaluate the technical responses of the Bidders who would found to be eligible as per the eligibility criteria mentioned in the RFP.
- c. During the period of evaluation, Bidders may be asked to provide more details and explanations about information provided in the proposals. Bidders should respond to such requests within the period indicated in the letter / fax / e-mail seeking clarification / explanation.
- d. Functional/Technical bid evaluation methodology that UCO Bank would adopt is given below:

- The requirements are given in Annexure – XVII & XVIII.
- UCO BANK may, at its discretion, waive off any minor non-conformity or any minor irregularity in an offer/bid. This shall be final, conclusive and binding on all Bidders and UCO BANK reserves the right for such waivers.
- The Bidders should provide their response ('Y' or 'N') to the questionnaire in the column "Compliance" in Annexure – XVII & XVIII.
- The Responses should be as per the table below.

Y	Yes
N	No

- If any Bidder provides response other than mentioned above the same will be treated as Not Available i.e. N.
 - In order to qualify response should "Y", response as 'N' will lead to disqualification.
 - Bidder should comply with all the Technical requirements given in Annexure- XVII & XVIII. Non-compliance to any of the Technical requirement in Annexure – XVII & XVIII may attract rejection of the proposal.
- e. The participating Vendor should provide its compliance for each of the line items mentioned in **Scope of Work (Part – IV)** of this RFP to be eligible for evaluation of Commercial Bids

2.3 Commercial Evaluation

The commercial bids of only technically qualified Bidders will be opened and evaluated by the Bank and the evaluation will take into account the following factors:

- a. The Bill of Material must be attached in Technical Bid as well as Commercial Bid. The format will be identical for both Technical Bid and Commercial Bid, except that the Technical bid should not contain any price information (with Prices masked). Technical bid without masked Bill of Materials will be

liable for rejection. Any deviations from the Bill of Material / non-submission of prices as per the format shall make the bid liable for rejection.

- b. The L1 bidder will be selected on the basis of the amount quoted for the proposed solution quoted by them as per commercial bid. However, in case of any discrepancy in calculation, unit cost for components & services shall prevail and TCO will be calculated accordingly.
- c. The optimized TCO (Total Cost of Ownership) identified in the commercial bid would be the basis of the entire outflow of the Bank for undertaking the scope of work.
- d. In case there is a variation between figure and words, the value mentioned in words will be considered.
- e. In the event the bidder has **not quoted / not mentioned / left blank** item(s) in the commercial bid, for evaluation purposes the highest value for that item(s) among other submitted bids would be used to calculate the TCO, based on which the L1 bidder will be selected. However, for the purposes of payment and finalization of the contract, **the value of zero cost** in the unfilled item(s) would be used.

2. Normalization of bids:

The Bank has discretion to go through a process of Eligibility evaluation followed by the technical evaluation and normalization of the bids to the extent possible to ensure that eligible 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 eligible bidders to re-submit the technical and commercial bids once again for scrutiny.

The resubmissions can be requested by the Bank in the following two manners:

- Incremental bid submission in part of the requested clarification by the Bank.
- Revised submissions of the entire bid in the whole.

The Bank can repeat this normalization process at every stage of bid submission or till the Bank is satisfied. The eligible bidder/s have to agree that they have no reservation or objection to the normalization process and all the technically short listed 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. The shortlisted bidder/s, by submitting the response to this RFP, agrees to the process and conditions of the normalization process.

PART-IV

Scope of Work

Bank intends to implement an end-to-end solution for Comprehensive Anti-Money Laundering (AML) and Trade Based Money Laundering (TBML) Application, which includes supply, installation, configuration, customization, maintenance and support for the proposed hardware and Software.

The selected bidder has to provide the Perpetual / subscription-based License of the proposed comprehensive AML & TBML solution to the Bank. Training is to be provided by selected bidder to the UCO Bank Team.

The Bidder is required to provide diagrammatic representation of functional, physical and logical architecture of all components of the solution as part of the bid document. The broad Scope of work (not limited to) for the bidder is as below:

- 1) Supply, install, implement, maintain, and support the new proposed comprehensive AML & TBML solution for the tenure of the contract at the Data Centre and Disaster Recovery Site.
- 2) Perform Data Migration from existing systems to proposed systems
- 3) Integrate with existing and required interfaces
- 4) Gap's study and Business Parameter Definition (BPD)/Detail Requirement Gathering
- 5) Suggest alternative/better approaches for achieving the similar functionality in new systems to avoid customization retrofitting and porting along with Interface porting.
- 6) Installation, integration and Implementation of proposed solutions
- 7) Provide Functional & Technical training to the Core teams.
- 8) Design, Size and maintain the required hardware, middleware, software and new solutions at DC, DR.
- 9) Provide AMC and ATS support during the period of the contract
- 10) Provide facility management support during the period of the contract
- 11) Provide exit management and reverse transition during the end of the contract
- 12) Conduct periodic DR drills (at least one in Financial quarter or as and when required by Bank) of the in-scope applications as per bank's policy and perform closure of Gaps of information security audits.

A. Broad Scope of Work as per Standard Requirement:

1. The Bidder is required to supply required Hardware and Software (OS/Application) with required licenses, install & deploy the solution at the Bank's Data center at Bangalore and Disaster Recovery (DR) at Kolkata, to integrate the proposed comprehensive AML & TBML solution with CBS (Finacle

10.2.09) and other ancillary banking applications as per Bank's requirement and in case Bank plan to upgrade CBS version in future the Bidder should provide redeployment of the proposed comprehensive Anti-Money Laundering (AML) & Trade based Money Laundering (TBML) solution during contract period, without any extra cost to the Bank.

2. The proposed solution should be capable of doing following screening and monitoring in robust and dynamic mode -
 - I. Transaction Screening & Monitoring
 - II. Name Screening
 - III. Client Screening
 - IV. Trade based/remittance related screening
 - V. SWIFT screening
 - VI. Vessel Screening and tracker
 - VII. Port Screening
 - VIII. Goods/ Dual Goods Screening
3. The Bidder shall be responsible for Supply, Installation, Implementation, Customization, Integration, Migration, Testing, Training, tuning /optimization of proposed comprehensive AML & TBML application / Database and post go-live support and Maintenance of all necessary Software and other utilities etc. at primary site and also at Disaster Recovery Site.
4. The Bidder should setup the UAT environment for testing of the solution before implementation of the solution in the production environment. The UAT setup shall be at Kolkata and used for the customization of any changes before movement in production. The setup would be kept available at all times during the contract period.
5. The successful bidder is expected to conduct study of complete requirements of the Bank and provide a Systems Requirement document to the Bank. The bidder should also provide Functional requirement document/ Business Requirement Document, system specification document for all the functionalities discussed. During requirement gathering bidder need to provide 2 Document specify to the country i.e. Singapore and Hongkong.
6. Preparing system specification document, solution design document based on the agreed functional requirements. Bidder needs to note that the Specification diagram should be for Singapore and Hongkong separately.
7. Setup and maintenance of all the environments for the solution i.e. Production, DR, Development, Testing, etc. Bidder needs to note that the environment for all the 2 countries should be separate physically from each other. Bidder can

virtualize the environment; however, production and non-production environment should be physically separate. Test, Dev, training should have dedicated VMs. Bidder needs to note that the environment for all the 2 countries should be separate physically from each other.

- Production at DC in HA (High Availability Active – Active)
 - DR - Should be deployed at 100% capacity of Production
 - UAT 20% of production in non-HA
 - Training, Test & Development -10% of production in non-HA
- 8.** The hardware sizing provided should be able to cater the load of next 5 years and the average CPU, Memory utilization should not exceed 70% and storage space utilization should not exceed 80%.
- 9.** Bidders 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 environments on periodic basis which should not be greater than 1 month.
- 10.** The bidder should have the Capability to maintain the software and provide support to the bank in case of configuration changes, development of new components, change requests, etc. post go live of the software.
- 11.** Application maintenance including bug fixing, patch management, up gradation, additions / modifications in the proposed application to cater to changes to data sources and/or new reporting requirements during warranty period of one year as well as during the post warranty period.
- 12.** Provide onsite FM support post go-live at DC & DR. Duties of onsite engineer include day to day operation support, configuration changes, version upgrades, performance monitoring, trouble shooting, Bug Fixing, patch installation and liaising with Bank official for various support issues etc. and assisting Bank official in switching to the DR site in case of system failure and Conducting DR drills in conjunction with the Bank.
- 13.** The licenses of the proposed AML & TBML solution should be perpetual / subscription-based licenses in the name of the bank. The Bidder should note these licenses should have no restrictions whatsoever on data, asset size, transactions or number of non-production sites across the Bank.
- 14.** The proposed comprehensive AML & TBML solution should be capable of generating all the regulatory/statutory reports as per required format. The solution should be flexible enough to take care of existing as well as any new future reports, mandated by statutory authorities, within the timelines

stipulated by the regulatory bodies (RBI/MAS/HKMA/FIU-IND etc.) during the contract period at no additional cost to the Bank.

- 15.** The proposed solution should migrate the existing data and archive data consisting of open/closed alerts of the existing AML solution and would be readily available for inquiry purposes.
- 16.** The solution should abide by the User management system and password policy as per the IT security policy outlined by the bank and should incorporate maker-checker concept for operational uses. The solution should also be able to integrate with two-factor authentication during login into the application.
- 17.** Bidder should act as a System Integrator for providing comprehensive Anti-Money Laundering and Trade based Money Laundering solution and all the required additional/total hardware, middleware, application software, third party utilities and their licenses should be provisioned in the bid itself. Bidder is liable for supply, installation, testing, commissioning, warranty, operational support, Annual Maintenance Contract (AMC) and Annual Technical Support (ATS) of all components of the proposed solution.
- 18.** The proposed solution should comply with the existing or future time-to-time guidelines on KYC- AML & Combating of Terrorism Financing from various regulators/enforcement agencies like RBI, IBA, FIU-IND, UIDAI, SEBI, FATF, MAS, HKMA etc. As and when new guidelines are issued from such regulatory authorities, the Bidder should incorporate the same in the solution and at no additional cost to the Bank during the contract period.
- 19.** Bidder has to submit the exhaustive list of all hardware items (servers, storage, tape library, etc.), software licenses and third party tools with their configurations and detailed solution architecture in the technical bid. Bidder has to submit a hardware-sizing document duly explaining and detailing make, model, architecture, configuration and OS requirement for each of the systems required for various layers.
- 20.** Bidder has to provide onsite support for hardware/ software/ third party tools at no additional cost to the bank during the warranty/ AMC/ ATS period. Bidder has to ensure that services under warranty, AMC, ATS should be provided on comprehensive onsite basis only. Should any components be announced End of support during the contract period the bidder will have to replace the same with an equivalent or higher specification product without any additional cost.

- 21.** All proposed software and hardware should be of latest and current version as of go-live date. The suggested OEM products/tools should not have end of life or end of support Bidder needs to submit an OEM declaration for the same as per Annexure XXVII.
- 22.** The solution should have dashboard for senior management.
- 23.** The case management utility should have provision to define roles for the officers involved. The system should have facility to escalate the case to next level after completion of the role assigned to a user up to logical conclusion of the case.
- 24.** The system should address and be compliant with the recommendations laid down by FATF (Financial Action Task Force).
- 25.** The solution should support advanced search techniques to search data provided by enforcement agencies. It should enable the user to enter the match score, sub-string search, inclusion of various search parameters to refine the search.
- 26.** The offered solution should have reporting capability for the real time monitoring of a DR solution parameter like RPO (at DB level), RTO, and replication status and should provide alerts (including SMS and e-mail alerts) on any deviations.
- 27.** At least first 4 DR drills to be conducted by OEM after successful implementation of proposed solution and training to be given to the UCO Bank's staff. Subsequently all DR Drill to be performed by bidder
- 28.** The bidder is required to maintain the RTO and RPO as per the Bank's Business Continuity Policy. For this proposed solution RTO will be 2 hours and RPO will be 30 minutes.
- 29.** The Bidder should maintain Uptime of 99.95% of the solution both at DC & DR during contract period.
- 30.** The Bidder should provide Backup/restoration/patch/updates/upgrades related activities pertaining to the Anti-Money & Trade based Money Laundering Solution & related servers. All updates and upgrades of OS & DB has to be done by the selected Bidder during contract period. All these activities are to be covered under scope of AMC/ATS provided by the bidder and bank will not pay any additional cost for the same.

- 31.** Bidder shall provide required help during VAPT (External & Internal), IS Audit, Security Audit, various compliances specially government and regulatory, cyber related, etc. to the Bank. The bidder should arrange for the closure of all observations including IS, Data Migration Audit, VAPT and Security Audit within time frame stipulated by Bank without any additional cost to the Bank. The bidder must ensure that the findings of the audit are successfully closed.
- 32.** The support service shall be provided on 24 x 7 basis at Kolkata for ensuring proper upkeep and maintenance of the solution. Details of onsite FM support shall be provided as mentioned in Facility Management Scope. Minimum Wage Clause and other regulations should be followed in the FM services.
- 33.** DC & DR sites will be located at two different geographical locations. Bidder has to maintain online data replication between DC & DR.
- 34. Training: -**

The selected bidder has to provide necessary project management, requisite training for administrators/ users of the application and shall also provide comprehensive documentation of the application including architecture, description of the interfaces, data model, database structure, meta data details, user manual and other related documents.

- End User Training-30 people batch in one day in Kolkata at Bank's premises and two days in premises i.e. hands-on training.
 - Technical & Admin Training for 5 to 10 people batch for one day in Kolkata, Bangalore, Singapore & Hongkong at preferably at Bank's premises.
 - Unit Price to be shared for each training.
- 35.** The proposed solution must support all major platforms including Linux, Windows, Solaris, and AIX with native high availability options. It must support both physical and virtual platforms.
- 36.** The proposed solution must have pre-packaged support for all widely used databases like Oracle, MSSQL, MYSQL, Sybase, PostGre SQL, DB2, NoSQL etc. It must support both physical and virtual platforms.
- 37.** Bidder shall provide on-site support during quarterly DR drills or as per the requirement of the Bank at no additional cost to the bank.
- 38. MIS Reports generation:** Bidder should provide Daily/Monthly/ Quarterly/ Yearly/adhoc reports, Exception reports, Detailed/summary level reports, etc.

in the specified formats as required by the Bank. Reports should be downloadable in excel, csv, txt, pdf etc. format.

- 39.** The Solution (both hardware & software) must be capable enough to handle a minimum of up to two thousand transactions per day within a span of 6-7 hours, which is scalable up to five thousand transactions per day and should be scalable so as to handle transactions and generate alert as per the regulatory (RBI, HKMA, MAS etc.) guidelines during the contract period of 5 years. The hardware sizing must be done accordingly by the bidder. In case the performance is adversely affected or the utilization of any server or any peripheral, exceeds the threshold limit as specified by the Bank, more than 3 times in a quarter, the selected bidder is required to upgrade the hardware/solution, within one month without any extra cost to the Bank. The hardware should be sized considering a year on year growth of 20%.
- 40.** The given solution should be capable of pulling data on real-time. Rule processing, Data pulling and Alert generation should be simultaneous.
- 41.** Total number/count of data migrated from given source and processed in the proposed solution should be provided on daily basis in order to avoid any missing transactions. In case of any missed transactions, report should be readily made available and procedure should be defined for its early migration so that no transaction is missed or escaped in the AML solution.
- 42.** The reporting and logging system of the AML shall integrate seamlessly with existing HP ARC sight Solution. As required by Bank the Bidder shall provide all the required information and data for integrating with HP ARC sight Solution.

43. Development Methodology

The Scope of Work laid out in this RFP requires the selected bidder to understand the complex nature of the project and hence should use a strong methodology that should be followed strictly.

- i. The selected bidder should follow a suitable SDLC methodology waterfall/ iterative/ agile/ proprietary methodology, etc. as part of vendor's response.
- ii. The methodology should clearly lay out the overall steps from Initiation to Closure of this engagement. The methodology should address development, customization, managed services, post go-live support services, and hardware / software installation / configuration services. Each of the steps should detail the input, process and output. The selected bidder should further detail how their tools/templates can be

used to leverage them effectively. The selected bidder should provide deliverables accompanied with functional specification, technical specification, impact analysis document, test case along with the test results and release document

- iii. The selected bidder should ensure all process templates as per their CMMI/Quality certification is adhered to and provide to capture and prevent risks and issues.

44. Project Implementation

The entire implementation will be carried out in the bank's premises. Following points should be covered by the selected bidder as part of the project implementation phase:

- 1) Walkthrough of the Entire solution and its functionalities to the users
- 2) Study of the current products, processes and operations of the concerned department, incorporate the additional functionalities identified during the study and define the exact deliverables
- 3) Gap Analysis, identification of Gaps and resolution of the gaps in line with the bank's requirements
- 4) Preparation of Business requirement document
- 5) Preparation of Functional requirements specification document and finalization
- 6) Parameterization and Configuration to meet the requirement
- 7) Customization to meet the banks requirement
- 8) Building Data migration strategy for migration from existing systems and carrying out the test migration activity to fine tune the migration strategy
- 9) Development of test strategy test plan and Test cases
- 10) Development to meet the functionalities
- 11) Testing and verifying the calculations / Functionalities
- 12) Support to users to carry out UAT and fixing the UAT observation
- 13) Carrying out Impact analysis wherever required and substantiate with the Impact analysis document for the bank to take a call on the proposed change
- 14) Defect fixing
- 15) Training for both functional and technical users before UAT start and before GO-live
- 16) Internal audit of the application

- 17) To impart training to the user on the Techniques of generating various MIS reports
- 18) Developing new audit reports / tools using the proposed solution
- 19) Training for report writer facility to create new reports and modify existing reports
- 20) Incidence analysis and reporting
- 21) Log analysis and monitoring

45. Functional requirements specification study

- 1) The Bidder should conduct a detailed system requirements study and provide a Functional Requirements Specification Manual (FRSM) relating to the functionalities as required to support the various products and services offered by the Bank/to be offered by the Bank in the near future as mentioned in the RFP.
- 2) The Bidder is expected to provide the FRSM to the Bank for review and comments, and any comments or suggestions of the Bank will be incorporated therein.
- 3) FRSM should include all the areas where the Bidder is suggesting a work-around and if it involves re-alignment of proposed business process, the re-aligned process should be included in the manual. The FRSM will be deemed complete when signed-off by the Bank.
- 4) The Bidder is expected to assist the Bank in aligning the business requirements with the applications so as to eliminate redundant and duplicate processes, increase operational efficiency.

46. Gap Identification and Resolution

- 1) The Bidder is expected to provide the Bank with the gap identification report along with the necessary solutions to overcome the gaps and the time frames.
- 2) The Bidder will give adequate time to the Bank for reviewing the gap report.
- 3) The Bidder will incorporate all the suggestions made by the Bank to the gap report.
- 4) The Bidder will ensure that they have the necessary infrastructure and people in place to resolve all the gaps within the timelines agreed, for the implementation and roll out

- 5) The Gap Identification report needs to be prepared separately for all the 2 countries

47. Application Installation and Implementation

- 1) The selected bidder needs to ensure that the scope of work for installation and implementation of hardware & software includes installation, functional requirements specifications study, configuration, development, customization, implementation and integration of the software. The precise nature and scope of the activities and functions to be undertaken for installation and implementation of the licensed software have been detailed and set out in this RFP document as a part of the scope of work, functional requirements, interface requirements.
- 2) Bidder needs to note that bank will only provide hosting space, network port, power, security (Anti-virus) and cooling. All the other component required for implementing and running the solution needs to be factored and quote by the bidder in the Commercial Bill of Material. Bidder must note that in case the proposed hardware is unable to meet the requirements stated in the RFP, bidder will be held responsible for augmenting the same at no additional cost to the Bank.
- 3) All the hardware supplied will be managed by the system integrator.

48. Parameterization/Definition of Rules

- 1) The system should be highly parameterized and flexible. It should be possible to clone existing product and process, with edit facility, thereby facilitating faster time to market.
- 2) There should be very limited coding required to configure the system, parameterization, definition of rules, and other user defined and driven system controls. It will be ideal if all these can be achieved by intuitive graphical user interface.
- 3) The successful bidder should provide the source code of all the customizations made to the Bank. The Bidder is also required to perform a secure source code review of all the custom developments and share the report with bank for review and approval. Bidder will carry out the customization or new functional capability development in the applications during the course of implementation as well as during the validity of the contract within the agreed fees. No additional charges will be paid.

- 4) Bidder is expected to customize all gaps observed in the solution during Functional RFP, Product Demo, Current Systems Study, Training, UAT, Business Requirement Definition ('BRD') subsequent roll out for all the proposed solutions. The Bidder also needs to provide all statutory reports as required by the regulatory institutions. Bank will not pay any additional customization costs either for gaps observed for the above and/or regulatory and statutory reports as required by the Bank.

49. Flexible User Interface Screen Design

The application should allow the flexibility to create and design customized screens with ability to select and add fields, apply rules on the fields (such as length, type of data, mandatory/non-mandatory, help function, dependency on other fields and its values etc.),

50. Data Entry/Capture, and Data Quality and Integrity Methodologies

The Solution should support the following data entry methodologies to minimize data entry errors and improve data integrity. One should be able to choose the data entry option for each type of alerts and change the same as and when required.

- 1) Maker / Checker – One person should enter data and another should authorize the entered data. If the authorizer notices errors in data entry, the task should be returned back to the data entry operator. Typically, all master table data entry should follow the maker / author route.
- 2) The captured data stored in systems should be managed and monitored regularly through appropriate data quality and integrity tools in place to ensure that the quality of the data is protected and managed effectively.
- 3) The maker/checker at the proposed solution should be different from the back-office's data creator/verifier.

51. End to End Architecture

The Solution should have a complete end to end IT architecture covering the following architectural domains in detail:

- 1) End to end solution architecture
- 2) End to end information architecture (with enterprise data model) that explains how data integration and interoperability is achieved between software components/modules.

- 3) End to end integration architecture (leading practices with supporting integration patterns and standards used)
- 4) End to end infrastructure architecture namely, hardware, network, storage and security
- 5) End to end security architecture
- 6) The architecture should be documented in detail.

52. Application Security

The IT systems should have high standards of built in security to support the following:

- 1) Authentication
- 2) Access control and authorization
- 3) Session management to ensure that the user gets to access only that data for which he is authorized.
- 4) Data access control
- 5) Log maintenance and monitoring
- 6) Data should be encrypted wherever necessary.
- 7) Bidder should comply with requirements on Information Security, Data Privacy and Data Leakage as defined by bank and Regulator from time to time.
- 8) Bidder should confirm compliance to these security requirements.

53. Security Management

The proposed solution should consider and address the following security management requirements:

- 1) The Bidder should ensure that the application and hardware components in scope are compliant with the Bank's security policies.
- 2) The Bidder is responsible for regularly updating the baseline security of the system as per the Bank's policies. Bidder should guarantee that there are no vulnerabilities in the deployed solution including custom developed components. There should be no back doors, Trojans or any such vulnerability.
- 3) The Bidder would be responsible for implementing the IT Security policy developed by bank. This policy will reflect the regulatory compliances expected of the bidder based on the bank's operations. Any deviations to such model policies should be justified to the bank for approval, the decision of the bank shall be final.
- 4) The bidder shall develop and maintain a security configuration document for all the applications and systems that are implemented as

part of this contract in accordance to the bank's IT security policy.

- 5) The bidder is expected to implement a robust change management process to ensure that only business approved changes are made in the production environment. Prior to any change being done on the production environment including servers, applications, databases and network components, a proper risk assessment needs to be carried out and the results to be documented for review and approval.
- 6) The Bidder will ensure and incorporate all necessary security and control features within the application, operating system, database, etc. so as to maintain integrity and confidentiality of data at all times. Any suggestions from the Bank will have to be included by the Bidder without any additional cost.
- 7) The bidder shall be liable to comply with all the legal requirements defined by RBI and Indian Government.
- 8) The servers should be hardened to the highest level by removing all vulnerabilities.
- 9) Encryption of passwords and sensitive data during transmission as well as storage of passwords & sensitive data in the database should be supported.
- 10) Strict password policy/mechanism of the Bank should be supported by storing the history of last 8 to 10 passwords.
- 11) Bidder to avoid request for any sort of remote access to the application / database for development / testing / support requirement.
- 12) Before go-live, application shall be subjected to VAPT and post implementation audit by Third party vendor. Compliance to audit observation needs to be ensured by the vendor before go-live of the application.

54. Implementation

- 1) The Bidder will have to ensure that the software provided as part of the project meets all the requirements described in detail in the functional and technical requirements. The Bidder shall provide all statutory and regulatory reports as required by the Bank in the desired format as part of implementation process. Any interfaces arising out of business needs should be made available to the bank at no cost during the contract period.
- 2) In the event of any deviations/discrepancies/errors observed, the bidder has to successfully rectify the deviations/discrepancies/errors reported within the stipulated time.
- 3) Bidder needs to implement the application as a separate environment

for all 2 locations i.e Hongkong and Singapore.

- 4) During Implementation bidder needs to take care to abide by the statutory and Regulatory guidelines of the respective country Authorities and India also wherever applicable.

55. Independent Third-party Review of Configurations, Audit and Model Set-up

The Bidder will provide for an independent review of the configuration set-up of the proposed solution, using reputed third parties with relevant experience in this area. The review should ensure that the set-up of the proposed solution particularly conforms to leading practices and market conventions. The cost for this review will be separately included in the bill of materials submitted by the bidder.

Additionally, the independent third-party review will comprise the following:

- 1) Configuration of instruments done by the selected bidder should be reviewed by independent party
- 2) The third party should have experience of validating models independently on statistical platforms like R or Python
- 3) The Third party will also perform VAPT, IS Audit and Post-Implementation Audit, compliance to the Functional and Technical Specifications in accordance with the RFP and the regulatory guidelines issued by the regulatory authorities of India, Hongkong & Singapore.

56. 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 bank's 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/MAS/HKMA and any other statutory/regulatory bodies

6) Bidder needs to engage a Third party for the same.

57. Exist Management Plan

- 1) The scope of work mentioned is illustrative and not exhaustive. The bidder needs to comply with Bank's requirements and any statutory or regulatory guidelines
- 2) Bidder shall provide the Termination/Expiration Assistance regardless of the reason for termination or expiration
- 3) Bidder shall comply/adhere to the Exit Plan
- 4) 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;
- 5) The bidder should perform a complete reverse transition of services to the bank's selected new vendor or bank's officials.
- 6) Bidder shall within ninety (90) days of the Signing Date, deliver to Bank 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 Bank 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
- 7) The Exit Plan shall be updated by the Bidder on an annual basis in accordance with Bank's requirements and delivered to Bank for its approval on or before the start of each Contract Year.
- 8) Knowledge Transfer and Handover of Services
- 9) Bidder shall provide for a transfer of knowledge regarding the Services
- 10) Provide to Bank personnel or designated third party personnel training in the performance of the Services that are to be transferred.
- 11) Bidder shall train personnel designated by Bank and/or its designee(s) in the use 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 Bank 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 Bank's 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 Bank's 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 Bank 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 Bank and/or its designee(s)
- 20) The vendor will not be allowed to take any bank's IP or information

58. Auditing

All actions and activities performed within the system should have a full audit trail that not only simplifies troubleshooting and problem resolution but also provides an audit document to pinpoint accountability. The application architecture should also provide for easy drill down and scale up of information. Business logic should be available and verifiable "as of" a particular point in time to support comprehensive auditing requirements.

There should also be proper audit trail of addition, deletion, modification, activation, deactivation etc. of users and their system rights. In addition, there should also be proper audit trail of addition, deletion, modification, at the record level showing the changes, users, date and time stamp. In this regard, it is to be noted that system should be capable of maintaining of all historical data along with audit record.

The system should have the ability to generate a detailed audit trail on a daily basis for the following minimum features for all the functionalities available in the product and customization solution:

- a. Attempted unauthorized logins
- b. Time of login and logout
- c. Change of passwords
- d. Change of parameters
- e. The audit trail should be at a granular level, and track the user across each activity
- f. All transactions should be time stamped with user ID along with details of modification, if any.
- g. Details of databases accessed and modified by the users should be maintained by the system.
- h. The system should have the ability to store and track all system events, including corrections and cancellations by multiple criteria.
- i. The system should maintain an error log in case of missing and/or erroneous data.
- j. The system should maintain an error log in case of missing and/or erroneous data.
- k. Able to generate statement & reports on audit trail & logs as mentioned above
- l. All types of alerts generated by system should have proper reference for the purpose of audit

59. Software Licenses

The bidder shall supply the software & licenses for the proposed solution required for successfully operationalizing the solution proposed in the bid.

The Bidder may use the information provided in the RFP to estimate the requirements for the proposed solution. The bidder should consider implementation timeline while sizing the licensing cost for the different modules. The following considerations must be taken for supply of software.

1. All software envisaged is required to be on-premises software licensed to UCO Bank.
2. The bidder should provide enterprise wide, perpetual / subscription based licenses for the proposed application.
3. The software supplied must be the latest version of the software supplied by the OEM.
4. Beta versions of any software shall not be accepted.
5. The bidder must consider the disaster recovery environment while proposing the software licenses.

6. The successful bidder should provide comprehensive warranty and ATS for proposed solution, including other software, associated modules and services required to meet the requirements in the RFP. The period of warranty shall be of 1 year for the proposed software and application licenses provided by the bidder. The warranty shall start from the date of Go Live and sign off by the bank. The ATS will start after the warranty period.
7. The ATS support for Solution should include the following:
 - All minor and major version upgrades during the period of contract at no extra cost
 - Program updates, patches, fixes and critical security alerts as required
 - Documentation updates
 - Support for application related malfunctions as defined in SLAs and ability to log requests online.
 - The OEM must conform to a response time aligned to service levels defined in section Service Level Availability and Monitoring.

60. Sizing of infrastructure

- 1) The successful bidder is required to provide the necessary hardware (Server, Storage, OS and Database etc.), to operationalize the complete Solution as proposed in the bid.
- 2) The Bidder shall confirm/ certify that the hardware offered by them for Solution should be adequate to fulfil UCO Bank's requirement and is as per the Industry best practices.
- 3) Bidder needs to do adequate sizing as per the Parameters provided in the RFP to maintain the SLA of the RFP for the duration of 5 years (as per the data points mentioned in this RFP). In case of any short fall bidder has to provide the same without any additional cost to the Bank.
- 4) All the ATS and AMC of the software and infrastructure supplied through this RFP needs to be factored by the bidder. All bug resolution / issue fix / patch management and all coordination with OEM needs to be done by the bidder.
- 5) The Bidder is required to maintain all in scope items for all the environments. Bidder is required to perform vendor management during contract duration.
- 6) Bidder should specify various infrastructure requirements well in advance before delivery of hardware & software which need to be provided for commissioning and smooth functioning of the equipment. This will include

site requirements, power requirements, network requirements, UPS, environmental conditions, illumination etc., so that Bank can arrange accordingly at the desired premises.

- 7) All the hardware and software to be supplied/proposed must be IPv4 and IPv6 compliant wherever applicable.
- 8) Bidder will be responsible for sizing for the proposed Solution. The sizing needs to be done based on Bank's requirements, optimized power usage and scalability.
- 9) All the ATS and AMC of the software and infrastructure supplied through this RFP needs to be factored by the bidder. All bug resolution / issue fix / patch management and all coordination with OEM needs to be done by the bidder.
- 10)The Bidder is required to maintain all in scope items for all the environments. Bidder is required to perform vendor management during contract duration.
- 11)Any other hardware and peripheral software like Database etc. need to be implemented and maintained by the bidder throughout the tenure of the contract.
- 12)The hardware technology proposed for the Solution should be enterprise class, best of the breed, latest, tested and stable release of OEM vendor and based on the latest platform enabling technology.
- 13)The Bidder needs to size, design, commission and maintain the hardware and related software for all the applications supplied in the RFP for the period of contract required as per the RFP.
- 14)Bidder need to submit a detail architecture of - over all solution and while designing the solution bidder has to keep in mind that architecture alignment is as per the Architecture shared in the RFP.
- 15)The bidder shall propose hardware sizing such that at any point in time during the contract period, the average CPU, Memory utilization should not exceed 70% and storage space utilization should not exceed 80%. In case the server resource utilization exceeds 70% or storage space utilization exceed 80%, the additional hardware has to be provided by the successful bidder to optimize the performance, within the indicated levels, at no further cost to the UCO BANK.
- 16)In case the Utilization of the Sizing including Storage, Server, CPU, RAM, Memory exceed as per the SLA defined the bidder is liable to pay penalty as well as needs to augment the hardware according to the requirement as mentioned in Annexure – XVI Sizing Adequacy Letter
- 17)At no instance, during the contract period, the solution or server utilization should exceed 70% for Storage, Server, CPU, RAM, Memory. In case the

performance is adversely affected or the utilization of any Storage, Server, CPU, RAM, Memory or any peripheral, exceeds the threshold of 70%, more than 3 times in a quarter during business hours, the successful Bidder is required to upgrade the hardware/solution, within one month without any extra cost to the UCO BANK. Also, bidder needs to pay penalty as per the Annexure – XVI Sizing Adequacy letter

- 18) Bidder should specify various infrastructure requirements well in advance before delivery of hardware & software which need to be provided for commissioning and smooth functioning of the equipment. This will include site requirements, power requirements, network requirements, UPS, environmental conditions, illumination etc., so that UCO Bank can arrange accordingly at the desired premises.
- 19) The quantity of the hardware components should be as per the solution proposed by the bidder.
- 20) All the hardware and software to be supplied/proposed must be IPv4 and IPv6 compliant wherever applicable.
- 21) Bidder will be responsible for sizing for the proposed Solution. The sizing needs to be done based on UCO Bank requirements, optimized power usage and scalability.
- 22) Compliance to specifications mentioned in the RFP and any regulatory or statutory requirement.
- 23) In the event that the proposed sizing is not able to meet the performance standards specified in the RFP, at the time of go live, the successful bidder will be required to augment/ upgrade the hardware & software components in the solution to ensure that the performance requirements are met. The additional hardware equipment & software shall be provided by the successful bidder at no extra cost to UCO Bank.

61. Environments

Logical separation / Virtualization for Test, Dev and Training can be done in a dedicated non-production environment. The bidder should note that the production and nonproduction environment should be physically separate **however for a common storage may be proposed for production and Non-Production environment with different LUN/volumes**. The licenses should be provided to meet the requirements of the contract, during the period of contract.

Bidder needs to note that the environment for all the 2 countries must be separated physically from each other and also all the hardware of the 2 countries needs to place in country specify racks. Bidder needs to note that all the hardware for 2 countries needs to be separate physical. However, the Infrastructure will be deployed in UCO Bank DC and DR

- 1) DC data should be automatically propagated online through asynchronous replication to DR site.
- 2) RTO of 2 hours and RPO of 30 minutes should be provided
- 3) Fail over should be allowed only as per the DR policy of the Bank
- 4) Bidder shall design and implement data synchronization procedures for the DR Site.
- 5) Periodic testing and drills shall be conducted to ensure that all replication and data synchronization procedures are in place all the time. In case of disaster at primary site / production site, DR site is to be made operational. Bidder should carry out DR drill every 3-month basis or as per bank's policy.
- 6) Bidder needs to note that physically separate adequately sizing should be quoted for reach of the following environments.
- 7) Production at DC and DR (100% compute and storage capacity of DC),
- 8) Test & Development & Training : The Test and development and Training servers should be minimum of 20% respectively of the size of the production as per the fifth-year sizing however the database size will be similar to production database size
- 9) All the Non-Production Environment should be physical separate from the Production Environment.
- 10) Bidders 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 environments on periodic basis which should not be greater than 1 month.
- 11) Bidder should arrive at the sizing independently. In case, the sizing quoted by the Bidder fails to meet the necessary services, bank will not bear any cost for upgrades or replacements. Also, during the contract period, growth of the bank should be considered and thus, the appliances proposed should have enough CPUs, memory and storage available to accommodate the predicted sizing required.
- 12) The Bidder will be completely responsible for supply, installation, configuration, customization and maintenance of complete solution for the contract duration. The bank at a later date will not make any additional payments for the solution provided by the Bidder.
- 13) Bank is already having ULA with Oracle for the below components, bidder who are proposing below components needs not to factor any amount for the same in bill of material however the sizing needs to be provided. In case during contract period if bidder require

more number of Licenses for these components Bidder needs to provide the same at no additional cost to bank.

#	Product Description	License Type/ Term
1.	Oracle Database Enterprise Edition	Processor/ Perpetual
2.	Oracle Partitioning	Processor/ Perpetual
3.	Oracle Diagnostics Pack	Processor/ Perpetual
4.	Oracle Tuning Pack	Processor/ Perpetual
5.	Oracle real Application Cluster	Processor/ Perpetual
6.	Oracle Advance Security	Processor/ Perpetual
7.	Oracle Data Masking and Sub setting Pack	Processor/ Perpetual
8.	Oracle Advance Compression	Processor/ Perpetual

62. Backup Solution

Bidder needs to propose a new backup solution which needs to be in compliance with the Technical specification mentioned in the functional & technical specifications. Bidder needs to Supply, install, implement and provide AMC/ATS support for new back-up solution for the period of contract. **Bidder** needs to factor 100 cartridges for the project, any additional cartridges will be provided by the Bank. The new backup software will be used for the doing backup of the DB, Operating system & Application. Bidder need to proposed capacity-based / Host-Based license for the new backup solution as per the below details:

The new solution should fulfil Bank's daily back-up requirement for next 5 years for the proposed solution.

1. Supply requisite hardware with accessories, software & licenses
2. Study existing environment and prepare detailed design documents for:
 - The deployment / installation of each of proposed Backup Solution
 - Implementation of Backup solution and Tape solution with a detailed backup plan. Install, configure and integrate Backup solution with hosts
3. Install, configure and operationalize of backup software, tape library, server and appliances at DC
4. Integrate, configure and operationalize backup solution with the Tape Library
5. Prepare detailed implementation plan with installation/implementation documents (with all screenshots).
6. Provide monitoring and management application for the proposed solution
7. Backup solution configuration and backup

8. Complete configuration and architecture diagram for the solution.
9. File system and Database Backup Daily policy which is incremental.
10. File system and Database Backup weekly policy which is full.
11. File system and Database Backup monthly policy which is full.

#	Backup Client	Application	Backup Frequency	Backup Type
1	DB and File System	All	Daily	Incremental
2		All	Weekly	Full
3		All	Monthly	Full

63. EMS Tool for Server Monitoring and Ticket logging

Bank is already having an EMS tool which will be augmented to bidder for tracking and monitoring the SLA and response time of the call logged by the users. Integration of the proposed solution with existing EMS tool will be the responsibility of the bidder.

64. Roll out plan

- 1) Bidder should plan the complete parallel run activity and roll out of the solution to the Production environment
- 2) The Bidder is expected to provide a roll-out plan Since the roll out will happen in 2 different countries bidder needs to factor the resources accordingly

65. Simulation Run

- 1) Vendor has to provide the simulation plan for a comprehensive plan to conduct multiple simulation activities. The bidder should conduct the simulation, provide support during the simulation.
- 2) Switch over from DC to DR and vice versa should be conducted during simulation.
- 3) All the defects, errors reported should be closed by the bidder. This process has to be conducted multiple times, to ensure that all the errors are closed within the stipulated timeframe.

66. Integration

- 1) The Bidder is expected to configure seamless integrations between other upstream/downstream systems through industry standard techniques.
- 2) The Bidder will be responsible for fault detection and rectification. The Bidder is responsible to ensure that the integrated systems are fully

functional.

- 3) Bidder needs to coordinate with all the vendor and do the require changes in the proposed solution.
- 4) Bidder needs to note that the integration needs to be automated without any manual intervention as much possible through API / STP only. File upload or any other option should be used only in case the API integration is not possible.
- 5) Below is the list of the existing and the future integrator system which bidder needs to do. Bidder needs to factor all the cost of these integrator – CBS, Treasury, MIS, Reporting Agency, Any other source/destination not mentioned herein, All non-banking entities, All the Overseas/Domestic subsidiaries/reporting agencies.

67. Testing Scope:

- 1) Bidder's testing team will be responsible for performing below activities for proposed solution:
 - Perform System Integration Testing
 - Perform User Acceptance Testing
 - Perform Critical field level testing (Pre-& Post)
- 2) Development of suitable testing methodology/testing strategy document
- 3) Development of test cases in consultation with Bank.
- 4) Execution of all the test cases.
- 5) Needs to provide test cases to bank (at least 300) mix of positive and negative and take approval from bank on the same.
- 6) Bidder needs to accommodate the test cases suggested by the bank.
- 7) Development of entry and exit criteria for the testing.
- 8) Development of detailed test scripts in UAT environment.
- 9) Train the Bank's team in test script development and testing methodology.
- 10) Test the application software's for functionality, operational convenience, security and controls. This will also include the positive and negative cases for each type.
- 11) Test Data preparation for all testing in scope.
- 12) Testing will be done on LAN as well as WAN environment including HO and Branches as desired by Bank.
- 13) Record the test results against the test cases tested.
- 14) The testing should also ensure conformity to:

- Existing functionality already running.
- Testing of all the customisations done including reports, etc. in the existing version are working as per expected.
- All the customized Interfaces are working as per expected.
- All the functionality working properly as per the Functional Requirement Specifications Manual provided by OEM.
- All Interface testing with all types of transactions pertaining to that interface

15) Point out gaps, errors, bugs during testing.

16) Document the gaps, errors and bugs observed during testing.

17) Maintain a track of errors, bugs and customization request and their resolution.

18) Explain the bugs, errors and gaps to the Bank and application vendors.

19) Follow up with Application vendor for fix or patch.

20) Re-test the gaps, errors and bugs after rectification.

21) Assist in Sign – off on the customization

22) Assist in Sign – off on the user acceptance test.

23) Submit all documents on methodology, strategy, test cases, test documentation, customization requests, solution etc. to Bank.

24) Conduct System Testing, Integration Testing of the entire functionality of the solution.

25) Vendor will be responsible for end-to-end testing and UAT activities within schedule timeline.

26) All the testing will be carried out by Vendor in coordination with bank Team.

27) Acceptance testing shall broadly cover the testing of the new version functionality, all interfaces to verify that the proposed solution conforms to the business & technical requirements and Gap analysis.

28) Once the bugs are fixed, or necessary rectifications are made and deliver patches/version towards changes, testing team shall re-do the open test cases for closure.

29) Testing team shall capture all the relevant screen shots for all the test cases executed (Pass/fail cases).

30) The Bank shall accept the application software only after the critical or major Bugs are fixed, which are then ready for production Implementation.

31) Testing Team shall perform end to end testing during database version

upgrade and Single byte to multi byte conversion.

32) Identify the critical fields (Up to 100) from the proposed solution for field level data migration testing in both pre and post migration environment.

33) Final compliance report for data migration testing.

34) Bidder's testing team will test all instruments as per the functional specifications of the RFP.

68. OEM Scope

- 1) The OEM has to give commitment to be part of the Implementation and migration project along with the bidder/vendor
- 2) ALL the SRS / LLD (Low level design)/ HLD (High level design) needs to be vetted and sign off by the OEM
- 3) All the parameters and Configuration of the proposed solution needs to be reviewed and sign off by the OEM
- 4) Bidder needs to ensure that OEM efforts are factored in the Annexure of Commercial Bill of Material and it should not be less than 10% of the overall bidder efforts for the proposed solution.
- 5) For being committed to the success of the project and take ownership during the actual implementation, it is the responsibility of the bidder to ensure requisite support from the OEM for various aspects of project including configuration, performance tuning, implementation support, setting up of production and Nonproduction environment. The Bidder shall assess the requirement of services from OEM(s) for all the supplied applications & Hardware, and provision for requisite support as part of Annexure XXI- Commercial Bid Format.
- 6) Bidder must provision for qualified personnel to ensure highest standards during implementation phase.
- 7) OEM's involvement for onsite implementation effort being proposed by the bidder during the implementation should be 10% of the overall effort of respective components. During implementation OEM involvement should be spanning across all phases of implementation including Project Preparation, Solution Design Phase (Including Review/design of all the Documents, HLDs/LLDs/ Blueprints and other Solution documents), Migration (if applicable, Configuration and Customization, Integration, Acceptance and Training).
- 8) Below mentioned activities are to be mandatorily be done by the product OEM.

Sl. No	Deliverable	Application OEM Responsibility
1	Project Plan	OEM(s) to review the Project plan submitted by the Bidder for their respective solution.
2	Training	OEM(s) have to mandatorily provide training to the Core Team Technical & Administrative). It is also the responsibility of the OEM(s) to provide training manuals to each participant. All training material should be in English and should include Specific architecture and layout done for UCO BANK. However, it is the responsibility of the Bidder to arrange and manage the training schedules.
3	SRS Document	OEM(s) to validate the SRS document submitted by the Bidder for the supplied applications
4	HLD/ LLD	Bidder to take inputs from the OEM(s) and provide LLD & HLD documents to the UCO BANK. However, it is the responsibility of the OEM(s) to review and recommend a methodology to achieve best performance. The same needs to be implemented upon sign-off on the documents by the UCO Bank.
5	Data Migration Strategy (Application, Database, Storage, Backup and LTO)	OEM(s) to validate the Data Migration Approach prepared by the Bidder which should broadly include Transaction Data, the approach for customer data, existing watch list data, execution of migration utilities on the data and resolving the issue for any inconsistency in the data.
6	SIT & UAT	OEM(s) to assist in SIT and UAT
7	Base Product Patches	OEM(s) to provide all patches related to Product, Customizations and Interfaces within the agreed timelines. OEM(s) to reconcile the product and other patches provided to the UCO Bank in a manner that the same is available on Day 1 to the UCO Bank.
8	Go-Live	OEM(s) to assist in having hygiene factors in place for checks and closures of SIT/ UAT/ correctness of data. OEM(s) should be available during the Go-live period to address any bugs raised during the go-live phase.
9	Status Reports	OEM(s) till implementation closure is required to be a part of the status calls from an application point of view to provide timelines for bug closures.

Sl. No	Deliverable	Application OEM Responsibility
10	Documentation	<p>OEM(s) to share the following:</p> <ul style="list-style-type: none"> • Product manuals • Technical manuals • Data Dictionary of the Products

69. **ESCROW Arrangement**

- 1) 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 proposed solution 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.
- 2) 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 the proposed solution which have been duly reviewed by an external independent organization.
- 3) 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.
- 4) This agreement will be signed between four parties i.e. Bank, Bidder, OEM and Escrow agent.

70. **Migration Services –Scope of Work:**

- 1) The Bidder will also be responsible for formulating the “Data migration strategy” and process documents.
- 2) At present Bank is having total data size of around **1 TB**.
- 3) Bidder will be responsible for providing necessary tools & support services for migration of the data from the existing AML & TBML systems of the Bank to the proposed system and also for first time Master creation for the respective requirements of the bank branches/offices.
- 4) It will be the responsibility of the bidder to extract the data including the

existing watch list data from the legacy system.

- 5) Bidder shall provide an archival solution along with necessary hardware/storage for migrated existing AML & TBML data.
- 6) Bidder must provide a solution for the data retrieval of the old data to the Bank.
- 7) In addition to that, the bidder should provide a robust reporting on the migrated data.
- 8) The bidder should provide a facility to migrate historic data of all the existing solutions currently used by the Bank. The migrated data should be cross verified, validated and authenticated.
- 9) The proposed solution should be capable of viewing and generating required reports from the above data without referring to the base solutions.
- 10) Migration process should be flexible enough to pull data from the given source for 3-4 days and generate alert for each day without waiting for completing the migration process of 4 days so that alerts are readily made available to the Bank team.
- 11) The vendor to liaise, interact, develop tools, correspond etc. with the existing AML & TBML system vendors to obtain the data as desired by the proposed solution.
- 12) Bidder shall be responsible for maintenance of the archival system and hand over the complete data and help the incumbent System Integrator to migrate the same to new system in case of termination of contract or completion of contract period.
- 13) The template made by the bidder should be error free and have all the micro and check inbuilt to avoid any errors.

B. General Functional Modules Requirements: -

The proposed solution should involve three major functionalities/modules to be used:

1. Deduplication

Provision for identifying the Multiple customers IDs. (UCIC/De-duplication Model). Capable of grouping of the data of multiple Customer ID into Branch wise and Region wise for de-duplication and keeping the track record of de duplication process/progress. The solution should be capable of identifying multiple Customer ID of a single customer on parameters like **Date of Birth, Driving License, Passport, Foreign Identification number, Unique Entity Number, Telephone/Mobile number** etc. for the purpose of de-duplication of customer IDs.

2. Risk Categorisation

The proposed solution should categorize accounts into risk categories – High, Medium, and Low– as per the risk rating mechanism in tune with the AML policy. It should support risk profiling of customers based on occupation, STR filed (to be updated by the successful bidder), KYC compliance, transaction patterns, turnover etc. The solution should also calculate the threshold limits based on the existing profile of the customers and also considering the legacy data. There should be an automated periodical review mechanism to update the risk categorization and threshold limits for the customer data. In addition, it should be always possible to override the system calculated risk values, having an option to manually set the risk.

3. Online Customer Screening of Sanction list/Negative List such as OFAC/ UN Sanction list/ any list stipulated by the Local Regulators from time to time etc.

- Solution should provide a web-based AML & TBML sanction screening tool which will screen the on-boarding customer/ pre-existing customers against a list of sanction databases and provide matching lists to avoid on-boarding any sanction entity.
- User should be able to export the results generated of screening through email or PDF or Excel or print or any other required format, with an option to input observations of the user.
- Tool should update the sanction databases within 1 (one) day of sanction declaration, with provision of details of source of such database for authentication.
- System's capabilities to allow the user to define their own thresholds for screening sanction names. Solution should be User friendly, User screens should be suitable to input the screening names and generate the results.
- It should also be possible to add new lists as and when they are introduced in future at no additional cost to the Bank. The lists should be updated straight through process (SFTP/API) as par as possible, as and when notifications are received from regulators. Users should also be able to create/maintain internal watch lists to monitor certain customers/commodities as and when required.
- There should be support for list scanning of account /customer database against watch lists – incremental screening should be there if there are any updates to the watch list data or customer data. All new customers should be checked against blacklists, watch lists data. And there should be provision to run search against existing customers as and when required.

- The bidder should ensure the availability the proper and applicable watch list for the purpose of effective screening of the master data against list of Sanctioned individuals and companies, Politically Exposed Persons (PEPs), and other lists of high risk individuals and organizations. The bidder should provide/bring/on-board the following watch list with the proposed solution for the Bank.
- a.** Politically Exposed Persons database which must be built based on the definition provided by major legislative bodies such as –
- Basel
 - European Union 3rd anti-money Laundering Directive
 - Financial Action Task Force
 - USA Patriot Act
 - Canada's Proceeds of Crime (Money Laundering) and terrorist Financing Act
- The list may also consider the following –
- Head of State Government and Cabinet Ministers
 - Influential functionaries in nationalized industries and government administration
 - Senior Judges
 - Senior Party Functionaries
 - Senior and/or influential officials, functionaries and military leaders and people with similar functions in international or supranational organizations
 - Members of ruling royal families
 - Senior and/or influential representatives of religious organizations (if these functions are connected with political, judicial, military or administrative responsibilities)
 - Senior executives of government owned corporations and businesses
- b.** Worldwide Enhanced Due Diligence Database
- c.** Global Watch List
- d.** Bureau of Industry Standard Denied Persons List
- e.** Bureau of International Security and Nonproliferation List
- f.** Bureau of Industry & Security (BIS), US Dept of Commerce
- g.** Chinese Ministry
- h.** EU Enhancements
- i.** European union
- j.** European union List of dual-use items
- k.** European Union Military Goods List
- l.** FATF Deficient Jurisdictions List
- m.** Her Majesty's Treasury

- n.** HM Treasury Lists
- o.** HMT Enhancements
- p.** IHS Vessel Companies List
- q.** IHS Vessel Enhancements List
- r.** Indian Ministry
- s.** International Arms Trafficker's List
- t.** Iran Sanctions Act (ISA) List
- u.** OFAC
- v.** OFAC Enhancement List
- w.** OFAC Part 561 Enhancements List
- x.** OFAC Part 561 list
- y.** OFAC Sanctions Country Regimes List
- z.** Sanctioned Airport and Seaport List
- aa.** MAS Singapore List
- bb.** Syrian Enhancement List
- cc.** UN Enhancements
- dd.** United Nations
- ee.** US bureau of Industry and Security Munitions List
- ff.** CAATSA Section 231 List
- gg.** Cuba Restricted List

4. Other General Functional Requirement

- a) STR alerts to be generated with automated triggering facility on either T day or T+1 day, i.e. transactions of 1st of the month should appear either at EOD of the same day or by latest in the morning of 2nd day of the month so that risk involved in delay can be mitigated.
- b) TBML and other IBA rule indicators to be embedded in the software.
- c) Software should do Behaviour Analysis with automated triggering facility based on past transactions including legacy data and profile of the customers such as Occupation, Constitution, Annual income, Annual turnover, KYC documents etc. of the customer.
- d) Software should have de-duplication process.
- e) Related account details and the reference data with corresponding date should be displayed on the screen during alerts analysis.
- f) STR entry marked but not authorized should be displayed during alerts analysis.
- g) Available balance figure should be displayed in account transaction details during alerts analysis.
- h) Account opened matching with Banned entities should be displayed during alerts analysis in report.
- i) In case of loan and cc accounts, limits should be displayed.

- j) Software should have link of MPAY Transactions enquiry.
- k) Software should capture prepaid card alerts as per RBI/MAS/HKMA instructions for walk in customer.
- l) Software should have Audit trail.
- m) CCR should be generated through the system.
- n) In "Report on STR Pending for Action", STR Alert/Reason Code should also be mentioned.
- o) Report on debit and credit summations of turnover should be provided Financial Year wise.
- p) Report on total cash transactions in a Financial Year can be generated for all STR marked accounts.
- q) If any new negative list is uploaded by any of the regulatory authority; the proposed solution should be capable to populate message with automated triggering facility after checking the data from the existing database.
- r) Party wise cash transaction report in a financial year should be generated by the proposed solution.
- s) There should be support for list scanning of account /customer database against watch lists – incremental screening should be triggered in automated way if there are any updates to the watch list data or customer data. All new customers should be checked against blacklists, watch lists data and there should be provision to run search against existing customers as and when required.
- t) The proposed solution should categorize accounts into risk categories – High, Medium, and Low – as per the risk rating mechanism in tune with the AML & TBML policy. It should support risk profiling of customers based on occupation, STR filed, KYC compliance, transaction patterns, location of transactions, turnover etc. The solution should also calculate the threshold limits based on customer's profile. There should be an automated periodical review mechanism mandatorily to update the risk categorization and threshold limits for the customer data. In addition, it should be always possible to override the system calculated risk values, having an option to manually set the risk after keeping all the details for the purpose of audit.
- u) The solution must have dynamic risk based approach mechanism by having powerful analytics, robust and flexible rulesets, sandbox environment built-in facility, audit trails for review and accountability, workflow to align with policy and procedure.
- v) Pre trade check facility should be available for trade based due-diligence.
- w) The solution should provide rule based suspicious transaction identification with automated triggering facility. It should have the ability to update rules incorporating new scenarios as and when notified by the concerned authority for identifying suspicious transactions. The solution should also

have provision to create user-defined rules based on various parameters like customer type, nature of business, various risks etc.

- x) The solution should support automated uploading of data generated from the bank's CBS system & other applications to proposed solution without any manual intervention.
- y) The solution should have complete and comprehensive security from unauthorized access. The number of levels / rights assigned to each level should be user configured by the bank. It should provide maker/checker facility and should also provide full audit trail for the events like alert generation, case creation, change to case information, changes to lists etc.
- z) The proposed solution should properly maintain and preserve account and alert information in a manner that allows data to be retrieved easily and quickly whenever required or when requested by the competent authorities. Further, it shall maintain for at least five years from the date of transaction between the bank and the client (Transaction monitoring date) and/or completion of contract of the vendor with the Bank, all necessary records of transactions, as required under Prevention of Money Laundering Act (PMLA) 2002. The bidder has to provide necessary support the new vendor for migration of data in case of completion/non-renewal/termination of contract.
- aa) Bidder has to comply with all the security guidelines mentioned by RBI/ MAS/ HKMA/FIU-IND any regulatory body/ Bank Policies. Bidder has to provide all the necessary support and access to premises /documents as and when requested by Bank/ Bank's appointed personnel/ any regulatory body.

C. Broad Scope of work as per Singapore Regulatory Requirements:

1. The proposed solution should ensure that transaction monitoring processes and systems are robust to enable suspicious transactions to be flagged, investigated and escalated on real time basis.
2. The proposed solution should ensure proper controls and procedures in place to address the risks of dealing with sanctioned parties and vessels for trade finance transactions on real time basis.
3. The proposed solution should maintain robust AML/CFT risk management systems and controls to manage and mitigate financial crime risks arising from trade finance and corresponding banking relationship.
4. The proposed solution should have the capability to incorporate the results of Singapore's NRA (National ML/TF Risk Assessment) report into its enterprise-wide ML/TF risk assessment process.

5. The proposed solution should ensure that the enterprise-wide ML/TF risk assessment information/report are made available as and when required by regulatory authority.
6. The proposed solution should ensure to keep its enterprise-wide risk assessment up-to date to enable banks to review its risk assessment at least once every two years or when material trigger events occur, whichever is earlier.
7. The proposed solution should ensure to monitor the related or linked transactions exceeding the thresholds and should follow all relevant MAS 626 guidelines while formulating scenarios and parameters.
8. The proposed solution should maintain an effective on-going monitoring of the customers' business relations and transactions on real time basis.
9. The proposed solution should have processes in place to monitor related customer accounts holistically within and across business units so as to better understand the risks associated with such customer groups, identify potential ML/TF risks and report suspicious transactions.
10. The proposed solution should have the capability to review periodically the appropriateness of the parameters and thresholds used in the monitoring process.
11. The proposed solution should have the capability to apply additional checks to manage the risk of impersonation. The additional checks must consist of robust anti-fraud checks that the bank routinely undertakes as part of its existing procedure.
12. The proposed solution should effectively manage the ML/TF risks arising from the deferral of completion of verification are to put in place appropriate limits on the financial services available to the customer.
13. The proposed solution should to ensure to perform proper screening so as to comply with the applicable laws and regulations in Singapore, including the TSOFA, MAS regulations issued under section 27A of the Monetary Authority of Singapore Act (MAS Act) and MAS Notice 626 (Prevention of Money Laundering and Countering the Financing of Terrorism – Banks), relating to sanctions and freezing of assets of persons. Any such assets should be reported promptly to the relevant authorities and a Suspicious Transaction Report (STR) should be filed.

- 14.** The proposed solution should not breach relevant laws and regulations in Singapore relating to sanctioned parties during screening activity.
- 15.** The proposed solution should ensure screening of the bank's customer database when there are changes to the lists of sanctioned individuals and entities, covered by TSOFA, MAS Regulations issued under section 27A of MAS Act and Terrorism (Suppression of Financing) Act).
- 16.** The proposed solution should ensure that transaction screening should take place on a real-time basis.
- 17.** The Proposed solution should ensure to implement fuzzy matching process to identify increased no of apparent matches.
- 18.** The proposed solution should ensure to consider customers risk's profile while determining the frequency of periodic name screening.
- 19.** The proposed solution should ensure to escalate to AML/CFT compliance function as and when positive hit occurred during name screening checks.
- 20.** The proposed solution should ensure compliance with legal instruments issued by MAS relating to proliferation financing risk. e.g. Prohibition of Transactions with the Iranian Govt and with Iranian Financial Institutions.
- 21.** The proposed solution should ensure robust sampling methodology that implements validation checks on sampling basis.
- 22.** The proposed solution should ensure enhanced CDD (Customer Due Diligence) measures to manage and mitigate any higher risks that have been identified by the bank or notified to it by the authority or other relevant authorities in Singapore.
- 23.** The proposed system should have the functionality to provide information about PEP (Politically exposed person) customer, structure of the corporate customer's i.e. simple or Complex in Customer Master and Customer related parties.
- 24.** The proposed system should have the functionality to provide information about Countries Dealt & Commodities Dealt by the customer in Customer Master.
- 25.** The proposed system should have the functionality to scan 'Country of Residence Field' to extract residing country of the entity which is to be scanned by inputting User id as part of Web-Service Request.

- 26.** The proposed system should have the functionality to exclude/restrict the suspended customers during offline screening process.
- 27.** The proposed system should have the functionality to perform Forward & Reverse Screening of Related Parties details at the end of the day (EOD) based upon the screening configurations defined in Screening Configuration Module.
- Forward Screening - Screening should takes place whenever the Customer Related Parties Master file is uploaded.
 - Reverse Screening - Screening should takes place whenever Caution List or Custom List is updated and the same updated lists should be scanned against the entire existing Related Parties.
- 28.** The proposed system should have the functionality of Online Screening Matches during EOD scanning of Related Parties.
- 29.** The proposed system should possess the functionality to view the matches through Online Screening of entities as well as EOD Scanning of Related Parties based upon relevant input parameters.
- 30.** The proposed system should have the functionality to view Match report identified by the system during the user defined Monitoring Period for a particular Request ID or Serial Number.
- 31.** The proposed system should possess risk categorization functionalities using Weighed Average Approach as well as Template approach maintained for both Retail and Corporate customers.
- 32.** The proposed system should have the potential to calculate the risk at both Account level and Customer level respectively.
- 33.** The proposed system should have the functionality in deriving Risk value for Tax Risk Assessment Parameter.
- 34.** The proposed system should have the functionality to configure the risk by using various parameters e.g Type of Account, Nationality, Residency, Countries Dealt, Occupation, Place of Business, Place of Incorporation/Registration, Nature of Business, Commodities Dealt to enable users in selecting various risk parameters and allocating a risk value as High or Low.
- 35.** The proposed system should have the functionality to display all the parameters, their values and the risk assigned to each parameter and sub-parameter in Customer Risk master under the Master's Module.

- 36.** The proposed system should have the functionality for calculation of the Customer Risk Review date for High and Low risk customers.
- 37.** The proposed system should calculate the next review date from the date of Latest Risk Calculated Date and should provide this information as part of Risk file.
- 38.** The proposed system should have the functionality to generate Customer Risk File report in flat file formats whenever risk is calculated in the system as part of end of day activity.
- 39.** The proposed system should have the functionality in generating various alert scenarios based upon relevant parameters that should be configured in the system. Such kind of alert scenarios are listed below:
- U-Turn Transaction
 - One to many Transaction
 - Many to One Transaction
 - Transaction in Child CIF
 - Customers having the highest number of transactions
 - Customers having the Highest Transaction Turnover
 - Customer Turnover Breaching Threshold Limit
 - Customer Transaction deviating from the expected transaction value
 - Customer Transactions deviating from the expected range of transaction volume
 - Customer Transaction deviating from the expected transaction Types
 - Transactions conducted by child CIFs deviating from the declared Transaction Volume of Parent CIF
- 40.** The proposed system should have the functionality of ADVERB module to enable user to create scenarios that monitor customers, accounts, single transactions as well as aggregate transactions.
- 41.** The proposed system should have the functionality for creation of various Scenarios using different templates e.g. Customers, Accounts, Single Transactions, Threshold based Aggregate, Surge based Aggregate & FIFO based Aggregate.
- 42.** The proposed solution should have the functionality to edit the fields of the existing scenario and should restrict modification of the template type of the scenario.
- 43.** The proposed solution should have the functionality for deletion of existing scenario that is no longer required.

- 44. The proposed system should have potential to enable user to create scenarios of different patterns under ADVERB module.
- 45. The proposed system should possess the functionality to display the risk calculated for particular customer/Account under Customer Information tab/Account Information tab respectively whenever the user performs investigation in workflow.
- 46. The proposed system should have the functionality to derive the value for risk override parameter "Task Risk Assessment" based upon system configurations.
- 47. The proposed system should have in-built additional MIS reports which are listed below:-
 - o Generation of Online Screening Match Details Report based upon relevant user input parameters.
 - o Generation of Top Ten Beneficiaries with Highest transaction turnover remitted report.
 - o Generation of Top Ten Beneficiary Accounts with Highest transactions remitted report.

D. Broad Scope of work as per Hongkong Regulatory Requirements:

- 1. The proposed solution should adopt practices in not only meeting the legal and regulatory obligations under the Anti-Money Laundering and Counter-Terrorist Financing Ordinance (AMLO) and the AMLO guideline, but also in implementing effective measures to further mitigate their Money Laundering & Terrorist-Financing(ML/TF) risks.
- 2. The proposed solution should ensure appropriate measures to ensure compliance with Hong Kong's sanctions regime, and obligations under Hong Kong law in respect of weapons of mass destruction (WMD) proliferation.
- 3. The proposed solution should ensure in establishing and maintaining adequate and appropriate risk based controls to address trade-based money laundering risks as per Hong Kong law.
- 4. The proposed solution should adopt a risk-based approach to assessment of risks in relation to trade-related activities, as well as the formulation and implementation of trade controls.
- 5. The proposed solution should perform customer level or (for non-customers) transaction-level risk assessment by referring to the risk-based approach as set out in chapter 3 of the AMLO guideline.

6. The proposed solution should conduct appropriate CDD and on-going monitoring measures by referring to chapters 4 & 5 of the AMLO guidelines.
7. The proposed solution should ensure to generate exception reports or detection scenarios to the extent reasonably practicable as per HKMA requirement.
8. The proposed solution should adopt a risk-based approach to CDD (Customer Due diligence) considering into account four overarching risk factors of country, customer, product/service and delivery/distribution channel as set out in chapter 3 of the AMLO guideline.
9. The proposed solution should ensure to apply the appropriate level of CDD corresponding to the assessed level of ML/TF risk, including enhanced due diligence for high-risk customers in accordance with Schedule 2 to the AMLO and chapter 4 of the AMLO guideline.
10. The proposed solution should ensure to perform “voyage checks” and “port checks” for managing ML/TF risks in transactions involving the shipment of goods using a risk-based approach. These checks should be performed to help verify the existence of the shipment, to help address the risk of fraud or ML/TF and shipment routes to help address the risk of sanctions violations or WMD proliferation.
11. The proposed solution should ensure to establish an effective transaction monitoring mechanism to identify unusual or suspicious trade-based activities. The scope and complexity of the monitoring process should be determined using a risk-sensitive approach as per chapter 3 of the HKMA transactions guidance paper.
12. The proposed solution should periodically assess and review their transactions monitoring system in the context of their trade-related activities, taking into account changes in business operations and developments in ML/TF methods as per HKMA transaction guidance paper.
13. The proposed solution should contain appropriate procedures for handling exception reports and red flags, as well as a procedure for escalating such reports, setting out clear lines of escalation.
14. The proposed solution should ensure to implement reports and systems (e.g exception reports and detection scenarios) that capture the transaction pattern or activities of customers such as the following examples: -

- Transactions involving high-risk jurisdictions.
- Transshipment involving sanctioned countries.

15. The proposed solution should ensure in identifying and screening all relevant parties to a transaction and other information contained within trade documents against applicable sanctioned lists.
16. The proposed solution should ensure to implement policies and procedures that are appropriate in relation to dual-use goods (Items that have both commercial and military or proliferation applications).
17. The proposed solution should have trade controls to ensure appropriate handling and management of alerts of possible matches from name screening and transactions connected with sanctioned or high-risk jurisdictions or embargoed goods/ services.

E. Successful bidder preferably has a local office/representative office at Singapore and Hongkong. Post Go-live Support/Facilities Management

This section of the On-Going Operations is broadly classified under Two (2) categories of services that the Bidder is required to offer.

- 1) Domain Services
- 2) Cross Functional Services

Any other tools required by the Bidder for offer the services as per the RFP should be proposed and factored in the bill of material.

Domain Services

UCO Bank has identified number of domain services to support business operations. Bidder is expected to provide support for these domain services as per the defined scope and the corresponding SLAs.

The following table presents an overview of the services to be provided by Bidder under domain services, on an ongoing basis for the duration of the contract. Bidder is expected to adhere to IT Service Management (ITSM) processes based on IT Infrastructure Library (ITILv3) framework (version 3) for all the services:

Domain Services	Description
Database Management	The management of the provisioning, maintenance and support of database hardware and software as well as monitoring, access management, backup and recovery and ad hoc support

Server Management Services	Monitoring and management of computing platforms on which utilities and applications are hosted
Storage Management Services	Monitoring and management of the enterprise storage environments within UCO Bank. This also includes storage area networks (SANs) Replication and storage on distributed file servers.
Backup and Restore Management Services	Management of backup facilities within UCO Bank proposed by the bidder for all the in-scope solution. The Successful Bidder shall be responsible for taking centralized backups from DC and DR for all the in-scope servers hosted at DC and DR.

Database management

The scope of the database management services includes all in scope data and database management activities on the production, non-production and disaster recovery environment that will be included as part of this service. The expected database management services can be further defined by the following high-level service requirements:

Domain Services	Description
Build, Installation	Definition/ Installation/ Creation of databases with suitable hardening procedures as per UCO Bank's policy
Database Performance Management	Fine tune and resolve performance issues through performance tuning and optimizations.
Database Capacity Management	Estimate & recommend database requirements based on performance and Business projections
Monitoring and administration	Provides the required operational support to monitor UCO Bank database environments
Backup and restore	Refers to the successful backup and restoration of the database instances as defined by UCO Bank policy
Access management	Management of the granting, removal, monitoring and editing of access rights allocated to the database environments
Database ad hoc support	Processes to perform database upgrades, performance tuning and repairing a database

DC and DR testing

Create, Implement and validate database recovery solutions. Support during DR testing and during actual DR situations

General

1. The scope of work mentioned is illustrative and not exhaustive. The bidder needs to comply with UCO Bank's requirements and any statutory or regulatory guidelines
2. All in scope Databases process and DBMS best practices will be a part of scope

Database Build and Installation

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

Database Performance Management

10. Track & co-ordinate database related incidents/ problems till resolution
11. Conduct first level diagnosis for reported Incidents & perform resolution
12. Analysis of incident/ problem trends
13. Co-ordination & escalation to Database vendors (L3) (Logging ticket at Vendor side as well internal tracking through service desk), follow-up till resolution
14. Maintaining & monitoring the health & performance of databases (Primary and standby)
15. 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

16. Monitoring the table space utilization, file system usage and all other events of O.S which may deter the performance of the database (primary as well as DR)
17. Analyzing/Troubleshooting Database Performance
18. Collection of statistics for databases
19. Optimizing database performance, Performance tuning
20. Monitor physical DBMS for performance & capacity requirements
21. Monitoring of databases
22. Monitoring of transaction logs
23. Provide recommendations on DBMS design
24. Monitor the backup & report on backup logs
25. DDL, export & import related activities
26. Preparing monthly database related reports
27. Periodic optimization of application databases through compression facilities and database tuning.
28. Provide reports on database currency and propose upgrade recommendations

Database Capacity Management

29. Estimate & recommend database requirements based on received data from Database Performance team and Business projections (Annual/ As and when required)
30. Perform Database Space analysis
31. Alignment to purging policy
32. Review archive logs requirements
33. Customizations required at DB level
34. Review and planning for 6 months

Database Monitoring and Administration

35. Setting data storage parameters for storage associated with the physical elements of the database
36. Handling password issues
37. Configuration of Databases
38. Creating a new database instance
39. Testing & implementation of patches
40. Testing & implementation of upgrades
41. Managing, applying & verifying Database program patches
42. Database Scripting
43. Review recommend and test patches.
44. Coordinate all changes through the agreed upon change management process
45. Start-up and shutdown of databases
46. Daily activities such as end of day, end of month, end of year/quarter etc.

- 47.**Daily / Weekly / Monthly backup of databases
- 48.**Database recovery
- 49.**Weekly database recovery checks
- 50.**Required logs maintenance as per Standards of the UCO Bank
- 51.**Disaster recovery as per Standards of the UCO Bank
- 52.**Database problem resolution
- 53.**Recreation of Indexes
- 54.**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
- 55.**Remove applications from the application portfolio following decommissioning from projects or improvements.
- 56.**Perform regular import and loading of data and ad-hoc data extractions.
- 57.**Responsible for maintaining DB inventory
- 58.**Maintaining and performance tuning of UAT databases
- 59.**Migration of Databases (Release Upgrade)
- 60.**Execution of all back-end changes across all applications as informed by application owner
- 61.**Manage database transaction (SQL)/ archive (Oracle) logs
- 62.**Administration/ management of archival databases (Purge from production and move to archive database)
- 63.**Resolving corruption (both Physical & Logical) issues at primary & standby databases
- 64.**Execute DBMS changes in support of major application or logical database design changes
- 65.**Designing &Implementation of logical & physical backups
- 66.**Flash back up on daily basis
- 67.**Vendor coordination with OEMs for upgrades, patches, bug fixes, performance tuning etc.
- 68.**Creation of a Standby database & setting up the DR
- 69.**Log shipping/Mirroring/Always On for SQL
- 70.**Monitoring, management and implementation of High Availability (HA) viz. clustering/RAC etc.
- 71.**Review of all databases
- 72.**Switchover of databases (as and when required and as per the defined time window)
- 73.**Refresh of Databases as per defined frequency or on demand
- 74.**Day end, month end, quarter end, year-end End of Day & Begin of Day support

75. Resolution of audit points and VA/PT reports
76. Management of tools
77. Ad-hoc support for processes run by branch charges for average quarterly balance/ SB interest calculation
78. Apply application data fixes.
79. Install patches and upgrades to database software.
80. Installing database software as appropriate.
81. Perform application nonproduction environment data refreshes.
82. Cloning of application data environments.
83. Monitor capacity and performance of databases.
84. Control of the database (adapting database profile parameters, expansion of tables and table spaces)
85. Technical reorganization of the database (defragmentation) also after archiving
86. Analysis of the DB tables & indexes - continual performance enhancement measures
87. Create new indexes, performs reorganizations as required per analysis
88. Creation, maintenance and execution of database related scripts such as start-up and shutdown processes
89. Creating and maintaining formal documentation of the database environment (e.g. scripts, design, configuration, access rights)
90. Monitor availability of the databases as a subset of monitoring overall service availability.
91. Providing solution services for database design, configuration and maintenance
92. 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.
93. Archive of application specific data as requested.
94. Implementation and monitoring of database security.
95. Loading software components- Kernel patches, Release changes.
96. Proactively apply security fixes
97. Documentation upkeep and records maintenance

Database Backup restore

98. Manage Database backup/ restore schedule, administration (RMAN Backup)/Scheduled Backups and others
99. Data Deletion & Purging/archival activity
100. Purging of tables based on availability of space on a regular frequency (Frequency to be decided)
101. Consolidating all database backups & Transaction log backups at a single file Server

102. Perform database backup, restore and recovery routines.
103. Compliance, review and updates to database standards documents.

Access management

104. Implementing & managing security rules & access authority as per UCO BANK's security policy, database Hardening etc
105. Implementation of database security by creating roles, privileges & profiles
106. Management of users in database and assigning of roles/privileges
107. Monitoring and management of logs for user access management of privileged users

Database adhoc support

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

Database Recovery

109. Create & implement database recovery solutions in consultation with UCO BANK's team
110. Recovery of database at primary and standby as per case
111. Restoration activities (from backup media)
112. Database recovery using the physical & logical backups
113. Support for DR Configuration and BCP activities and Plan
114. Evaluating current backup, recovery, & data replication procedures & providing recommendations for improving those procedures

Server Management

The scope of the server Management services includes all in scope server activities on the production, non-production and disaster recovery environment that will be included as part of this service. The expected server Management services can be further defined by the following high-level service requirements:

Service	Description
Installation and configuration services	Refers to the appropriate installation and configuration of the server environment as per industry best practice as well as UCO Bank's policy requirements.
Monitoring operations	Provides processes and procedures to monitor the server environment to ensure that the appropriate monitoring, reporting and maintenance activities occur.

Operating system support	<p>Provides for operating systems and related software configurations. The service also consists of ongoing processes to maintain supplier supported operating platforms for preventive software maintenance Services. This includes services such as:</p> <ol style="list-style-type: none"> 1) Software configuration management 2) Software upgrades and patch management 3) Software release management 4) Software optimization, tuning and preventative maintenance
Hardware support	<p>Provides the services and methodologies that will be used by the Bidder to support the UCO Bank's server requirements. This service consists of the following components:</p> <ol style="list-style-type: none"> 1) Hardware installation and configuration 2) Hardware environment support 3) Hardware preventative maintenance
Operating system security administration	<p>Operating system security administration provides the processes to manage access to client assets at an operating system level. This security service provides the management of user logon ids and their access rights to system level resources, as well as maintaining server level security parameters and security product options. This section describes the various actions to be taken as part of the Security Administration Service, as well as what is needed on behalf of the client in order to provide these service levels.</p>
System vulnerability management	<p>Vulnerability management consists of preventive and detective services to identify vulnerabilities as they emerge; to prevent those vulnerabilities from affecting the in-scope systems; to detect when an in-scope system has been affected; and to cure those affected systems. Vulnerability management consists of both Vulnerability Alert management and Vulnerability Scanning processes. Vulnerability Alert management is the preventative process that collects known vulnerabilities and prioritizes vulnerabilities based on associated risk.</p>

Operating system security event logging	Operating system security event logging is a detective control that enables the recording of security events on system hosts based on present parameters. The administrative tool's logging function is enabled, and the security events are retained in a record for future review.
Performance and capacity management	Consist of the support processes to collect, monitor, and analyze system performance information, for processor usage, input/output (I/O) throughput activity, disk usage, and memory usage
scheduling and monitoring	Scheduling and monitoring Process consist of those specific tasks associated with administering the automated scheduling system to provide the tools and processes necessary to support a scheduling and monitoring processing environment.
Failover management	Provides for the recovery of the critical workload on the server environments in the event of an outage of primary server and / or a disaster. The bidder is required to prepare documentation of a written recovery plan for the server environments

1. The scope of work mentioned is illustrative and not exhaustive. The bidder needs to comply with UCO Bank's requirements and any statutory or regulatory guidelines
2. Shifting of servers within the premises and reinstallation and configurations including cabling and asset labelling
3. Provide server configuration reports and configuration details to the UCO Bank as requested
4. Maintain accurate supplier contact information and escalate to supplier contacts in a timely manner.
5. Implement configuration management processes and procedures.
6. Record and plan release of server upgrades and support its implementation.
7. Maintain an audit trail of server configuration changes as resulting from release and change control processes.
8. The required software agents are to be installed, configured and monitored.
9. Provide guidance to the UCO Bank and industry best practice for the optimal configuration of the operating system environment.
10. Produce and maintain installation and configuration diagrams of all installations
11. Actively manage and report on the availability of all servers.
12. Perform server periodic checks, monitoring and performance tuning.

- 13.** Communicate any service issues or implementation concerns with the UCO Bank and appropriate support personnel and/or vendors.
- 14.** Monitor hardware and system software status, process status, and take necessary action based on detected problems or issues as provided in this schedule.
- 15.** Provide problem escalation and interact as necessary with third party suppliers.
- 16.** Provide monitoring and troubleshooting for the server environment
- 17.** 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.
- 18.** Bidders will ensure appropriate resources are on site to ensure service levels are achieved if recovery or corrective actions are required.
- 19.** Propose tools for operations such as monitoring, deployment and configuration etc.
- 20.** Ensure server access is secure and authorized.
- 21.** Management of logical access to the server environment in accordance with the UCO Bank's policy (including administrator \ root access)
- 22.** Assist the UCO Bank with application support requiring operating system changes or access
- 23.** Evaluate the impact of new operating system upgrades or releases on existing applications and performance.
- 24.** Install patches as and when these become available, per vendor instructions for security exposures and Operating System bug fixes deemed critical by the vendor.
- 25.** Ensure the configuration of operating systems is in line with standards and policies as defined by the UCO Bank
- 26.** Document and track all configuration management problems using the site change management process.
- 27.** Co-ordinate all changes through the site's change management process.
- 28.** Configuration management for operating system release levels, patches and status.
- 29.** Perform routine system operation functions and system console operations actions such as power on/off, system reboots, and start/stop/reset.
- 30.** Apply preventive and corrective maintenance to all system level software (operating system and other non- application software).
- 31.** Install and upgrade all system level software (the operating system and other non-application software).
- 32.** Escalate hardware related malfunctions to the hardware supplier for resolution as provided in the vendor maintenance contract
- 33.** Inventory information about hardware shipping and receiving, raised floor space requirements, equipment placement, cabling, fibre, connectivity details, power and earthing requirements

- 34.** Servers/Storage hardware maintenance and support is based on various maintenance levels.
- 35.** Alert the UCO Bank about hardware changes that may impact application execution in support of the UCO BANK's application testing.
- 36.** Design back-out processes to return to the former hardware configuration if unforeseen problems occur during installation.
- 37.** Co-ordinate the scheduling and installation of supplier- recommended preventative maintenance and other hardware specific changes.
- 38.** Schedule down time as and when required to perform required hardware preventative maintenance, installation and testing.
- 39.** Design, build, schedule, and implement a hardware refresh template.
- 40.** 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 UCO Bank
- 41.** Establish the process and procedures for requesting logon IDs and OS system level access
- 42.** Create, modify, and delete system logon IDs using the Change Control Procedure
- 43.** 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.
- 44.** Remove inactive or suspended IDs after a specified amount of time, based on consultation with security administration and the UCO Bank's using the Change Control Procedure
- 45.** 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
- 46.** Provide processes and procedures to maintain operating system data protection options.
- 47.** Perform bi-annual re-verification of data owners, authorized submitters and logon IDs, existing level of privileges, based on input from the UCO Bank and system security configuration.
- 48.** Work with the UCO Bank's application support personnel as reasonably required for the Quarterly reviews and maintenance of inactive user id's
 - Compile a list of defined users id's on the Operating System, and provide list to the UCO Bank
 - Perform reviews of system, monitoring and database administration user id definitions.
 - Bidders will apply the necessary changes as per the outcome of the review.
- 49.** Hardening of servers as per UCO Bank's policy
- 50.** Anti-virus scan and anti-virus update on the server

- 51.** Bidders will delete the UCO Bank's application user id definitions, once such a request has been forwarded by the UCO Bank.
- 52.** Bidder to update virus related signature files on servers to manage the removal of malicious code.
- 53.** Support and ensure that the timely installation of updated signature files and anti-virus software patches on all servers within the managed environment occurs.
- 54.** Coordinate with UCO Bank's 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.
- 55.** Testing of signature files are to be performed prior to deployment.
- 56.** Perform pre-production scans to identify potential security risks on a server prior to entering the production environment.
- 57.** Review the results of vulnerability scans and determine corrective actions based on the results of the scans
- 58.** Review the results of penetration testing and determine corrective actions based on the results of the scans.
- 59.** Review government and supplier bulletins and various other sources to identify emerging threats or vulnerabilities to the UCO Bank's hosts.
- 60.** Maintain the risk evaluation process of vulnerabilities in which mitigation plans are determined, in accordance with the agreed security policy.
- 61.** Maintain a vulnerability correction process to correct vulnerabilities detected through scanning of servers.
- 62.** Maintain a vulnerability correction process as new vulnerabilities are identified.
- 63.** Correct known vulnerabilities detected within the scope of the Bidder's responsibility, using the appropriate correction and change management processes.
- 64.** The agreed security policy is to form the basis of security level.
- 65.** Maintain processes to provide consistent configuration of parameters for logging devices and ongoing maintenance of those parameters.
- 66.** Make certain of adequate retention of security event logs, based on the agreed security policy.
- 67.** Configure the parameters of the administrative tools for all system hosts, in accordance with the agreed security policy.
- 68.** Will provide event logging to the extent that tools, resources, and storage are available on client owned environments
- 69.** Ensure sufficient storage capacity available to retain logs
- 70.** Provide a listing of resource access rules for re-verification purposes
- 71.** Perform quarterly review all user ID's and forward list of ID's not used for the last 6 months to the UCO Bank for permission to delete these ID's.
- 72.** Process security data identifying logged or audited access to a resource.

- 73.** Process security data identifying attempted access to a protected resource.
- 74.** Process security data identifying password violation attempts.
- 75.** Process security data identifying usage of emergency ID's.
- 76.** Monitor and maintain ID's and their designated privileges or access to make certain that only active, authorized ID's have access.
- 77.** Adjust and maintain operating system and security software parameters, consisting of password expiration, available in the specific operating system.
- 78.** Provide performance management functions and establish performance monitoring thresholds for major processes.
- 79.** Proactively identify performance problems and improvements.
- 80.** Provide capacity planning processes, for short term and long-term planning, forecasting resource requirements, and analyzing and reporting resource trends.
- 81.** Monitor server utilization, CPU usage and I/O activity, produce capacity projection reports and develop plans for improvements.
- 82.** Review server capacity and advice where future additional capacity may be required or archiving policies need reviewing or implementing.
- 83.** 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 UCO Bank.
- 84.** Perform operating system software tuning \ optimization as required to maintain day-to-day operations
- 85.** Provide, install and maintain performance monitoring software.
- 86.** Maintain system parameters to manage subsystem performance and workload throughput.
- 87.** Implement changes as necessary to optimize the effectiveness and efficiency of the server platform.
- 88.** Analyze system resource and storage utilization.
- 89.** Perform capacity trend analysis.
- 90.** Perform capacity modelling.
- 91.** Capture capacity usage for the last 12 months.
- 92.** Provide forecasting based on historic trends and planned UCO Bank's initiatives.
- 93.** Provide assistance with batch scheduling issues and problems using the problem management process.
- 94.** Process job dependency information for batch job cycles as defined by the application support staff.
- 95.** Maintain specific batch cycles utilizing the standard operating system CRON scheduler throughout the operational support coverage hours as necessary to meet defined service levels.

96. Provide appropriate system resources, tools and procedures to support the processing of user-initiated batch jobs.
97. Agree with the UCO Bank prioritization for scheduled, ad hoc and system jobs.
98. Provide the necessary operational resources to support UCO Bank-submitted or UCO Bank-scheduled batch processing.
99. Maintain tools and facilities for UCO Bank to perform batch scheduling and batch monitoring activities.
100. Log problem records if scheduled and automated batch jobs fail.
101. Consult with the UCO Bank should job priorities require a change due to system constraints.
102. Perform problem diagnosis and purging of jobs on Operating System as necessary.
103. Monitor automation tools and functionality.
104. Maintain and execute system start- up/shutdown processes.
105. Monitor, identify, and implement automation techniques to remove manual interventions for ongoing monitoring and operation activities.
106. Perform maintenance and support for automation tools and products
107. Problem determination and isolation for automated operational processes.
108. Maintain and update documented hardware, facility, operating system, database and related system software recovery plans as necessary.
109. Perform quarterly tests of the recovery plans to verify the effectiveness there-off in supporting the day-to-day UCO Bank operations.
110. Provide the required personnel resources to perform recovery plan drills or actual recovery plan execution at the time of disaster.
111. Provide requisite mirroring and redundancy across the DC & DR facilities to ensure adequate failover for the server environments.
112. Cluster configuration including the integration of startup/shutdown scripts
113. Configuration of shared storage
114. Provision of documentation on implemented high availability solution
115. Installation, maintenance and monitoring of clustering
116. Conduct Cluster tests as a part of DR drills

Storage Management

Storage and data consist of a system managed storage strategy that enables all data to be managed individually and automatically by the system. Within the system managed storage environment are both online and removable storage media, commonly referred to as disks and tapes. UCO Bank requirements for data availability, accessibility, performance, and retention can be accommodated at the data set level and used by the system managed storage environment to select the correct media.

The expected storage and data management services can be further defined by the following high-level service requirements:

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

1. The scope of work mentioned is illustrative and not exhaustive. The bidder needs to comply with UCO Bank's requirements and any statutory or regulatory guidelines
2. Develop and document storage and data management requirements and policies.
3. Develop and document procedures for performing storage management that meet requirements and conform to defined policies
4. Review Storage Management procedures on a regular basis to be defined.
5. Provide appropriate data storage services (e.g. RAID array, SAN, tape, etc.) compliant 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 UCO Bank's 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 UCO Bank
13. Maintain the integrity of storage media, e.g. tape and disk.
14. Maintain the data integrity across DC and DR
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 – 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:
 - Allocating raw storage
 - 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 UCO BANK access to the storage management system from all applicable locations where the Services are performed, and allowing UCO BANK 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

Backup and Restoration Management services

The scope of work mentioned is illustrative and not exhaustive. The bidder needs to comply with UCO BANK's requirements and any statutory or regulatory guidelines. The Bidder shall define data backup and recovery requirements. These requirements should cover the following at a minimum:

1. Identify the data backup technique which best suits the needs of UCO BANK for each application / server
2. Install, configure, test and manage any tools that may be required for data backup and recovery, such as those for writing the same data to multiple storage devices at the same time
3. Restore data to the database, as appropriate while ensuring that there is no loss of information / data.
4. Development of procedures and templates. Periodically conducting restoration drills, recording the results and reporting the results to UCO BANK.
5. Execute backup and recovery procedures
6. The IT MSP is required to handover the tapes to UCO BANK's personal/3rd party who will vault the tapes at offsite locations and retrieve tapes from UCO BANK's resources when required.
7. Restore required files and data sets
8. Performing mock system failure and then data restoration drills on periodic basis
9. Manage all existing and all future deployments of Backup and Restore Infrastructure. Media will include both tape and disk drives
10. Performance tuning for the Backup and Restore Infrastructure
11. Install and configure new equipment as required
12. Configure any new Backup and Restore infrastructure to the Monitoring and Alerting system and commence the Monitoring activity upon completion of the installation.
13. Provide capacity planning on backup and restore platforms.
14. Equipment shifting within the premises including reinstallation/ configuration and cabling & labelling

Administration

1. Backup and Restoration Administration - Manage and monitor backup and restoration activities.

2. Provide Backup and restore infrastructure configuration maintenance
3. Handling backup (Full, Differential, Incremental) of agreed data for all managed servers as per the frequency (daily, weekly, monthly, yearly) defined in the backup & restore policy/ procedure/ guideline of UCO BANK.
4. Performing media management for offsite/onsite backup
5. Handling service requests on backup and restoration.
6. Generating daily/weekly/monthly report on the backup/restoration performance
7. Performing retrieval of backup data
8. Performing back up media maintenance:
 - Defining media rotation requirements and/ or follow standard procedure
 - Labelling backup media as per backup policy
 - Planning and requisitioning of storage media
 - Monitoring and maintenance of the scratch tape pool
 - Registering tapes into automated tape handling devices
 - Handing over of tapes to UCO BANK's personal /3rd party vendor for rotation of tapes to offsite facilities
 - Destruction of media coming out of service in accordance with back up policy
9. Executing database back-ups and restores (including export and/or import) using database tools.
10. Performing restoration activities:
 - Testing of the restore the Data as per UCO BANK Policy/guidelines.
 - Restoring complete or incremental backup as authorized (including user approval for restoration to same path, business manager approval for restoration of common folders to same path and UCO BANK IT approval for all other restorations) within 24 elapsed hours
 - Periodically verifying backup media integrity and testing of backup and restoration process as per a defined schedule
 - Restoring single or multiple objects from the backup media
11. Reviewing backup and restoration process and infrastructure, to reduce the backup or restoration windows
12. Monitoring the backup and report on backup logs. Reasons for backup failures are to be analyzed and reported.
13. Monitor tape hardware for malfunctions and monitor tape usage
14. Managing and maintaining of back up tape devices
15. Performing maintenance of appropriate documentation, in accordance with back up policy:
 - Maintaining a backup register
 - Labelling and tracking of tapes
 - Backup and verification Logs
 - Restoration Logs

16. Granting UCO BANK access to the backup management system from all applicable locations where the Services are performed, and allowing UCO BANK to monitor and view the knowledge database on an ongoing basis (including Authorized Users).
17. Rapidly resolving every backup request/incident/problem within mutually agreed timelines
18. Backup policies configuration, modification for file systems, databases on heterogeneous operating systems
19. Performing any other day-to-day administration and support activities
20. Perform periodic audits to ensure the proper cataloguing of media
21. Review compliance with physical specifications, retention periods and Security
22. Provide monthly reports of retired and disposed Tapes. The report is to also to account for the status of all the backup media in the storage, including new media added for the month.
23. Maintain the integrity of the tape library system
24. Monitor tape library for reliability and minimization of read/write errors during the entire retention period

Backup and Recovery - Restoration testing

25. Carry out mock restoration tests
26. Decide applications and data for testing through restoration testing as per UCO BANK policy
27. Document test plans and results
28. Delete data from test servers
29. Review restoration test results
30. Storing backups and managing media life expectancy for storage media, etc.

Offsite Media Management

31. Responsibility for off-site media storage, including:
 - Integrity Checking
 - Compliance with UCO BANK and/or government requirements
 - Handover the Tape Media and business- recovery-related paper documentation to UCO BANK personnel/3rd party vendor for secure off-site vault storage
32. Follow off-site Tape Media storage procedures, including:
 - Prepare media for off-site storage, for transfer to other Third Parties/UCO BANK's personnel as requested by UCO BANK, or as otherwise required
 - Log all physical tape Media in and out of the Data Center and/or remote locations, as appropriate.

- Handover the tape media to UCO BANK personnel/3rd party vendor to ship/receive tape Media to and from the off-site storage location(s) on a daily basis or as required.
- Maintain the rotation of the tape Media that is required for off-site storage.
- Periodically Audit the off-site tape storage facility for compliance and control procedures and provide reports of such audits to UCO BANK.
- Maintain the integrity of data shipped to off- site storage by UCO BANK's personnel/3rd party vendor
- Notify UCO BANK of any problems
- Design an emergency tape Media return process and submit to UCO BANK for approval
- Comply with, and review compliance with, physical specifications, retention periods, and security
- Wipe/erase the data and configuration information resident on the External Storage Media using recognized industry standards prior to disposing of the External Storage Media.

Replication

- 33.** Monitor the RTO and RPO of complete solution as per the UCO BANK's policy
- 34.** Monitor and manage the replication between the DC and DR
- 35.** Generate reports to review the performance of the replication
- 36.** Ensuring the RTO and RPO are maintained of the Complete solution as per the UCO BANK's policy

DC – DR Drills

The scope of work mentioned is illustrative and not exhaustive. The bidder needs to comply with UCO BANK's requirements and any statutory or regulatory guidelines. After implementation of the supplied hardware and software bidder need to perform the first DC DR Drill in totality within one month in coordination with all other vendors of the UCO BANK.

- 1.** Bidders need to perform minimum of 4 DC DR drill in each year during the contract period as per the discretion of the UCO BANK.
- 2.** All the DR Drills needs to be done from the supplied ADR tool
- 3.** Bidder needs to allocate adequate resources, do project management and work closely with the application owner for performing the DC-DR Drills whenever planned by the UCO BANK.
- 4.** Any configuration level changes which can impact the DC DR drill need to be informed to concerned team before handover to avoid issues during the Drill.

5. During DC DR drill bidder need to allocate appropriate resources onsite to avoid any failure and delays which will be penalized appropriately as mentioned in the Section 7 Penalty & Uptime of RFP
6. Bidder need to perform project management and all reporting and pre and post environment preparation to avoid any failure in the drill.
7. Maintain and update Business Continuity plan
8. Maintain and update disaster recovery plan
9. Ensure successful replication between production and DR
10. Notifying UCO BANK promptly if a Disaster recovery scenario/condition arises
11. Assisting UCO BANK in execution of DR plan in such scenario
12. Perform periodic recovery testing
13. Developing and executing test plans as per defined periodicity or as and when required
14. Documentation for Business continuity plan, Business continuity strategy plan & Roles and responsibility matrix for DC and DR team
15. Coordinate with all the users involved in DR testing
16. Track and report DR test results.
17. Develop an action plan and timeline to address DR testing results.
18. Implement DR action plans and provide ongoing status reporting until completion of all action items.
19. Initiate the DR plan for UCO BANK in the event of UCO BANK declared DR situation as per UCO BANK Disaster Recovery policies and procedures.
20. Perform quarterly DC-DR drills based on UCO BANK's periodicity.
21. Coordinate with UCO BANK and third parties during a DR situation as per UCO BANK Disaster Recovery policies and procedures.
22. UCO BANK can also do an unplanned DC-DR Drill which bidder needs to support and design the system accordingly.

RTO / RPO Management

The bidder needs to maintain the below RTO and RPO parameters of the all the in-scope equipment's and software as mentioned below. Bidder will be responsible to main

Application Name	RTO / RPO
Comprehensive Anti-Money & Trade based Money Laundering Solution	RPO: - 30 Minutes RTO: - 120 minutes

Cross Functional Services

Over and above the defined scope of services within the Domain Services, it is expected that the Bidder provide the IT support service management activities

required to effectively manage the services required in a consistent, efficient and reliable manner and is able to meet the desired service levels.

The Cross Functional Services are mentioned below:

Service	Description
Performance measurement and reporting	Ensuring that appropriate performance measurement tools and processes are in place that can produce the required reporting on all IT services within the scope of the Bidder. The Bidder(s) will also be required to adopt a collaborative approach in order to ensure that end-to-end reporting can be achieved through consolidating the relevant reports.
Incident management and IT Infrastructure Support Services	Incident management refers to an unplanned interruption to an IT Service or a reduction in the Quality of Service. The objective of incident management is to restore normal operations as quickly as possible with the least possible impact on either the business or the user. The Bidder is expected to assume accountability for the resolution of incidents as part of the 1st line of support to be provided. All 2nd level support will be the Bidder's responsibility. The Bidder should also take into account that a 24x7x365 support service is required. Bidder will raise tickets with respective OEMs for level 3 support.
Change Management and Release Management	Change Management will protect the production environment and its services. All changes to Configuration Items must be carried out in a planned and authorized manner. This includes identifying the specific Configuration Items and IT Services affected by the Change, deploying the Change, testing the Change on UAT environment, and having a roll back plan should the Change result in an unexpected state of the Service. Release Management will take a holistic view of a Change to an IT service and to verify that all aspects of a Release, both technical and non- technical
Service Level Management	Service Level Management will maintain and gradually improve business- aligned IT service quality through a constant cycle of agreeing, monitoring, reporting, and reviewing IT service achievements and through instigating actions to eradicate unacceptable levels of service
Security Management	Security Management will ensure compliance to security policies, contractual requirements, regulatory/statutory requirements, and as expressed in the Service Levels

Patch Management	Provide patches management services for in-scope infrastructure at DC/DR
IT service continuity and Disaster Recovery	Supporting disaster recovery activities in scenario of a disaster and to keep the UCO BANK disaster recovery plan up to date

Performance measurement and reporting

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.

It will be expected that the bidder shall be proactive in identifying opportunities for improvements in the delivery of the service.

Service Requirements	Description
General Performance Management	Assess and publish metrics on the quality of services being provided.
Architecture Assessment of proposed solution (all 2 location)	<p>The Vendor shall provide the following Services mentioned below as a part of the architecture assessment and provide the analysis report to the UCO BANK.</p> <ul style="list-style-type: none"> • Biannual Performance Analysis for systems • Biannual Storage Assessment Service • Biannual Performance Analysis for Database <p>The analysis report needs to be reviewed by the independent third party at no additional cost to the UCO BANK. The independent third party should have experience of performing hardware assessment for at least one scheduled commercial bank in India having at least 1500 branches in India.</p>
Reporting	Provide Performance management reports to the UCO 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.

The Bidder should use industry standard tools required for carrying out the activities mentioned in Architecture Assessment of the proposed solution (all 2 location) infrastructure. Independent reputed third party shall review based on the report submitted by Bidder. The independent third party should have experience of performing hardware assessment for at-least one scheduled commercial bank / Insurance Company in India having at least 1500 branches in India.

The Bidder is required to perform the performance analysis of the proposed solution (all 2 location) servers, storage and database.

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. The Bidder is required to comply with the roles & responsibilities for Performance measurement and reporting services detailed in Annexure XVII & XVIII – Functional & Technical Specifications.

Incident Management and IT Infrastructure Support Services

The Bidder should not only take precautions necessary to minimize damage from incidents and malfunctions, but also monitor and document these incidents in detail with a view to learn from them. The bidder should design and implement formal systems and procedures for detecting and reporting incidents relating to exceptional situations in day-to-day administration of the IT infrastructure. It should ensure that incidents are reported in time to enable authorities to take appropriate corrective actions to avoid the recurrence of such events in future.

The bidder is required to provide an IT Infrastructure Support Services to UCO BANK's Application Monitoring Group for any issues in domain or cross functional services.

Incident Management and IT Infrastructure Support Services

1. The scope of work mentioned is illustrative and not exhaustive. The bidder needs to comply with UCO BANK's requirements and any statutory or regulatory guidelines
2. Receiving incidents through helpdesk tools and taking necessary action. The successful bidder shall update the status of the ticket as and when desired
3. The bidder will have to ensure that categorization of services is possible/enabled in the system to capture the defined SLAs
4. Providing updates to UCO BANK's Team on incidents logged
5. Receiving requests and trouble reports, assign priority based on agreed upon definitions and route the request to the appropriate service engineer (including for remote support or on call support) and track till resolution
6. Resolving all incidents as per resolution time limit specified

7. The resolution time will be measured from the time when Bidder receives an intimation (through helpdesk tool /phone /email) from the group/end user. Resolution of problem for the purposes of this Service Level shall mean to achieve normal operational functionality
8. Define help desk call prioritization guidelines, problem severity codes, and escalation procedures
9. Provide support for infrastructure and application calls
10. Level 1 Support for the Infrastructure & other queries linked with in-scope equipment, applications & services
11. Conduct a thorough Root Cause Analysis to identify the problem and do an assessment requirement for routing it to AMC / ATS Support
12. Escalate and communicate issues as per agreed escalation/communication processes
13. Carrying out root cause analysis and corrective action for recurring incidents and for all critical and major problems.
14. Subject to UCO BANK's review and approval, developing and periodically updating problem escalation procedures and distributing such procedures to Authorized Users
15. Escalate the tickets to proper Support group for resolution.
16. Resolve the problems logged by the users. Logs calls with AMC / ATS service providers in case of needs and coordinate and follow up with them till closure
17. Coordinate with Application / Hardware service providers to get the calls resolved which needs their support for ticket closure.
18. Support for the IT peripherals at DC and DR
19. Manage problem escalation procedures
20. Providing status of pending requests to UCO BANK business user -The mail should contain business, domain type, company code, person who raised the issue, description of the incident/problem, actions taken, current status, last contacted personnel and reasons for pending status
21. Notifying UCO BANK business users when request is completed
22. Resolution of the problems linked to in scope infrastructure or services
23. Notifying UCO BANK IT of any deviation to process or failure to meet SLA
24. Developing the knowledge database that is required in order to solve as many incidents as possible as a first-time fix.
25. Knowledge database on an ongoing basis (including Authorized Users)
26. Liaison with the 3rd party Vendors, application service providers and coordinate problem identification and resolution
27. Record, analyze and report queries/tickets/calls received by the help desk, including:
 - Query volumes and duration,
 - Problem trends, and
 - Query resolution time.

- Unresolved called
 - Age analysis of unresolved queries
 - Problem solution and resolutions
- 28.** Conduct trend analysis and if required forward the case to the incident management team
- 29.** Generate the reports from the system to track the Helpdesk support service levels
- 30.** Dispatch the appropriate support personnel to remedy a problem if it is a hardware, network or security infrastructure related issue
- 31.** Bidder will provide Induction Training to all the bidder personnel joining UCO BANK account covering the following aspects:
- Introduction to UCO BANK's IT policies and processes
 - Understanding of UCO BANK Business Processes and culture
 - Adequate training on new products and services
- 32.** Performing any other day-to-day administration and support activities

Change Management and Release Management:

As part of the change management process the bidder is expected to perform the following activities:

Service Requirements	Description
Initial user request	<p>In case of changes required to application software maintained by the bidder, the user shall submit the requirements to the UCO BANK IT Team. The bidder must populate the 'Change Requirement' form.</p> <p>The requirements could relate to changes required in the operational infrastructure to support new/existing requirements or frequent error messages indicating that some parts of the programs are incorrect.</p> <p>The requirements could relate to additional features required to be built in the system or changes forced by the regulatory body as well as suggestions from the stakeholder community</p>

Approval of request	<ol style="list-style-type: none"> 1. Once UCO BANK provides the go ahead, the bidder along with the Bidder team, shall conduct a feasibility analysis 2. Subject to the outcome of the feasibility study, the request shall be forwarded to the relevant team. 3. An enterprise-wide, standard naming convention for each application / Hardware change requests must be adopted by the Bidder. This naming convention should clearly and unambiguously highlight the respective application / Hardware name, module name and the version number. 4. The Bidder, should collate the relevant information to assist UCO BANK in analysing the Change Request based on the following: <ul style="list-style-type: none"> • Criticality and need for program change • Exploring new ways of getting the same functionality within the existing set up • Building workarounds • Effect on other modules/ menu options/ business process – Impact Analysis • Any possible effect on existing control procedures
Documenting the changes	<p>The Bidder shall maintain the documentation related to the IT infrastructure and accordingly make the necessary modifications/updates as and when changes are made to programs.</p> <p>The Bidder must ensure that the user operating manual as well as system documentation is updated on a timely basis. The responsibility of maintaining the above documents is with the Bidder.</p>

1. The scope of work mentioned is illustrative and not exhaustive. The bidder needs to comply with UCO BANK's requirements and any statutory or regulatory guidelines of all the three countries
2. Apply change and release management policies, procedures and processes to comply with service level requirements
3. Establish change classifications (impact, priority, risk) and change authorization process.
4. Participate in the development of the change management and release management procedures and policies.
5. Document and classify proposed changes to UCO BANK services. Documentation shall include UCO BANK cost and risk impact if needed and back out plans for all proposed changes.

6. Develop and maintain a schedule of planned changes and provide to UCO BANK as required, complying with change control process.
7. Determine change logistics and schedule.
8. Schedule and conduct change management meeting to include review of planned changes and results of changes made.
9. Attend weekly CAB meetings for approval of change implementation.
10. Attend change management meetings.
11. Provide change management documentation and tooling as required.
12. Review change management details and suggest amendments as appropriate to meet the needs of UCO BANK (back out plan, go/no go decision).
13. Notify UCO BANK of change timing and impact.
14. Implement change and adhere to detailed release plans.
15. Modify configuration, asset management items and service catalogue (if applicable) to reflect change. Asset management is reviewed quarterly but also can be requested on demand (referred later). Disaster recovery impact is covered under the normal change control processes.
16. Verify that completed changes delivered the expected impact and resolve negative impacts.
17. Monitor changes and report results of changes and impacts.
18. Conduct user acceptance tests as required.

Service Level Management

The objective of the Service Level Management process is to manage and maintain the quality of IT services delivered to UCO BANK's end users. The process should also seek to improve the quality of service delivered to the end users by reviewing the level of performance achieved by the IT Help Desk.

The Bidder is expected to design and implement a Service Level Management process to enable both the end user and the Vendors to have a clear understanding of the expected level of delivered services by documenting these goals in formal documents.

The SI is expected to perform the following activities in relation to Service Level Management with other IT processes:

1. Incident Management service assists Service Level Management by:
 - Monitoring and reporting on threshold breaches in agreements and notifying support officers when escalation and breach events occur
 - Providing information on historical data and trends
 - Providing the interface with customers on the level of services provided

- Recording escalation actions and activities to maintain the service commitment under an SLA with the customer.
2. Problem Management service - assists Service Level Management by:
 - Identifying the underlying cause of incidents and problems to minimize their recurrence
 - Providing statistics, trends and historical data and assisting with Service Level Management reporting.
 3. Change Management service assists Service Level Management by:
 - Providing information on the effect of changes on the IT infrastructure and the impact on service level targets before and after these changes are implemented
 - Tracking improvement in services since service levels are defined
 4. Configuration Management service assists Service Level Management by:
 - Identifying the services affected by faulty configuration implementations
 - Identifying components/functions that combine to deliver a business function/service so that underlying agreements can be set up.
 5. Assess and collate the Service Levels across multiple Vendor Contracts
 6. Define, document, and implement a process to ensure that service levels are tracked
 7. Develop a process by which reports are produced showing the performance of a service against its SLA
 8. Undertake routine exercises whereby each SLA target is analyzed
 9. Define, document, and implement a process that ensures that SLAs are regularly reviewed to ensure that they meet the UCO BANK's requirements
 10. Track the SLA in conjunction with the change management process, define, document and implement a process whereby all changes to SLAs are agreed upon and raised through the change management process using a request for change.
 11. Provide periodic status on the Service Levels maintained across all the components/services that are required to be tracked
 12. Compute the penalties based on the Service Level defaults
 13. Collate the required documentation, evidence required to be shared with the respective Vendors

Security Management:

The Bidder must ensure that the ongoing operations adheres to UCO BANK's security policy. The Bidder is expected to monitor and report any deviation from UCO BANK's policies for the complete operations solution.

UCO BANK's policies are in line with global standards like ISO 27001. Audits will be conducted by UCO BANK (or by auditors and / or Consultants empanelled by UCO BANK for the purpose.) Any findings unearthed during these audits will have to be fixed by the bidder. The bidder is required to ensure anti-virus scans and updates for the in-scope infrastructure.

The Bidder shall define a standard operating environment for UCO BANK's IT infrastructure based on UCO BANK's security policies. It shall also ensure that the required updates are performed as necessary.

The scope of work mentioned is illustrative and not exhaustive. The bidder needs to comply with UCO BANK's requirements and any statutory or regulatory guidelines

1. Entire IT infrastructure of the UCO BANK (supplied and maintain by bidder) complies with the Security Policy
2. Activities that would be carried out:
3. user ID creation / deletion,
4. password setting / resetting,
5. creation of limited access shared space on servers,
6. secured installation of assets, secured backup tape storage,
7. destruction of data on failed hardware components (for example, data on a server hard drive that fails) and
8. Confidential data protection methodologies.
9. Secure network resources against unauthorized access from internal or external sources.
10. Periodically review access authorizations and remove those for which approval no longer exists
11. Reset logon ID passwords and disclose passwords only to authorized personnel
12. Establish, change, deactivate, and remove logon IDs and associated access authorizations
13. Provide and maintain virus avoidance, detection, and elimination software for Servers.
14. Conduct periodic virus scans for Servers to monitor for virus propagation and perform virus detection and eradication
15. Maintain security controls for dial-in services and add users to the services as requested
16. Restrict physical access to Servers and infrastructure devices and other secured areas to authorized personnel only at DC
17. Restrict physical access to Servers and infrastructure devices and other secured areas to authorized personnel only at DRS
18. Implement controls which protect printed output and portable storage media (for example, tapes and disk packs) from unauthorized access and

19. Anti-virus update on the in-scope infrastructure
20. Anti-virus scan on the in scope infra

Security Incident Reporting

21. Report any significant computer security incidents occurring on any systems
22. Report any significant network security incidents occurring on any systems
23. Track the number of security incident occurrences resulting in a user's loss of data integrity, denial of service, loss of confidentiality or that renders the user(s) unproductive for a period.
24. Facilitate meetings with the UCO BANK team

Patch Management

The Bidder will be responsible for implementing patch management for in-scope infrastructure at DC and DR.

The Bidder shall perform system planning and design for patch management. Once this process is defined, Bidder shall configure the patch management set-up and test the patch management process. The Bidder shall develop the strategy for activation, including:

1. Which hardware must be activated first
2. Start times (e.g., nights and weekends when there is less line activity and less impact on performance)
3. Assignment of attended and unattended nodes
4. Identification of hardware which do not get updated and developing a plan to update the same.
5. Distribution of patches, services packs, reports etc.

Bidder shall take corrective action, as appropriate, for problems resulting from patch management (additions or upgrades) to facilitate application stability. Bidder shall monitor the asset management and software license management systems implemented at UCO BANK.

Patch Management for end user computer/laptops, branch network equipment and branch peripherals are out of scope for the bidder.

6. The scope of work mentioned is illustrative and not exhaustive. The bidder needs to comply with UCO BANK's requirements and any statutory or regulatory guidelines
7. Define patch management processes and procedures, packaging (Server software build), configuration customization, and deployment of patches
8. Ensure that installed software is available at consistent release levels.
9. Perform system planning and design for patch management e.g. boot disks, tapes, server-based software)
10. Develop the strategy for activation, including:

11. Start times (e.g., nights and weekends when there is less line activity and less impact on End Users);
12. Assignment of attended and unattended Hardware; and Distribution
13. Check software configuration and ensure policy compliance
14. Document the patch management strategy for each application
15. Test all new releases of software prior to promotion into the production environment
16. Take corrective action, as appropriate, for problems resulting from software distribution (additions or upgrades) to correct error conditions and facilitate application stability.
17. Patch Management is only for in scope infrastructure at DC, DR, Test, T&D and UAT. The end user devices are out of scope.

IT service continuity and Disaster Recovery

The bidder is required to provide IT service continuity and disaster recovery tool as the Technical Specification mentioned in the RFP for UCO BANK production environments and their associated infrastructure. The bidder must demonstrate that it will consistently meet or exceed UCO BANK business continuity and disaster recovery requirements.

The scope of work mentioned is illustrative and not exhaustive. The bidder needs to comply with UCO BANK's requirements and any statutory or regulatory guidelines

1. Maintain and update Business Continuity plan.
2. Maintain and update disaster recovery plan
3. Ensure successful replication between production and DR
4. Notifying UCO BANK promptly if a Disaster recovery scenario/condition arises
5. Assisting UCO BANK in execution of DR plan in such scenario
6. Perform periodic recovery testing
7. Developing and executing test plans as per defined periodicity or as and when required
8. Documentation for Business continuity plan, Business continuity strategy plan & Roles and responsibility matrix for DC and DR team
9. Coordinate involvement of users for DR testing
10. Track and report DR test results
11. Develop an action plan and timeline to address DR testing results
12. Implement DR action plans and provide ongoing status reporting until completion of all action items
13. Initiate the DR plan for UCO BANK in the event of an UCO BANK declared DR situation per UCO BANK Disaster Recovery policies and procedures.
14. Perform quarterly DR drills or DR drills based on UCO BANK's periodicity

15. Coordinate with UCO BANK and third parties during a DR situation per UCO BANK Disaster Recovery policies and procedures

Roles and Responsibility of application resources

The Bidder will be the Single Point of Contact and responsible for Facilities Management Services, AMC and ATS for all components, hardware, software, etc. 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.

The Bidder shall consider and envisage all services that will be required in the maintenance of the system.

1. 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.
2. 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.
3. Respective team should be available on-site and would resolve day-to-day production issues reported in all in scope applications / hardware by debugging and analyzing the same.
4. Upon intimation of the issue from the Banks' Team, the respective 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.
5. 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.
6. If the issue is a bug and would require a fix, restoration would be provided by the support team.

7. If the issues are because of the incorrect understanding, the issue would be closed with appropriate explanation in consultation with the Bank.
8. 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.

Service Desk

Help desk would need to be setup at the Banks' premises on all working days of the Bank as per below table.

The Bank reserves the right to increase or decrease the number of seats at 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 helpdesk. The Bank expects the Bidder to provide for 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 RFP. 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.

The key activities that the SI is expected to perform as part of helpdesk Support are:

1. Assessment in case of specific rights assignment
2. Provision for assigning user rights only for certain fixed period
3. Periodic user right monitoring (at known frequency) must be specified and implemented.
4. Categorization of requests into functional clarification, bug or change request and route the ticket to the right team.
5. Functional clarification to be provided by helpdesk itself.
6. Bugs & change requests to be logged and reported for further processing
7. Provide telephonic and / or electronic mechanisms for problem reporting requests as well as for service and status updates.

8. support team will be responsible for 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.
9. 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.
10. Bidder has to maintain SLA defined in RFP for helpdesk.
11. Provide continuous onsite support for all applications being implemented / procured through the Bidder
12. Performing and troubleshooting End of Day, End of Month, End of Quarter and End of Year activities
13. Perform Version Migration - The services specified herein are not exhaustive and only indicative:
 - a. Perform version migration as per the version release plan of OEM and agreed by the Bank
 - b. Version upgrades and migrations should also include porting of existing customizations
 - c. 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
 - d. For any version migration to be performed the Bank and the Bidder will mutually draw up an implementation plan and schedule for the same
14. Prepare Root Cause Analysis document with the root cause and resolutions provided for major issues such as:
 - a. Problems which have resulted in complete service disruptions or downtime
 - b. Critical production issues such as incorrect interest application in majority of the accounts, frauds done using the system, inconstant accounting or system behaviour
 - c. Delayed response times
 - d. Data / table corruptions
 - e. System Performance issues (high utilization levels)

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

1. Bidder has to start support after the completion of implementation.

2. 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
3. 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.
4. 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'.

Bidder needs to factor minimum below resources during Sustenance Phase

Resource	Location	Min. No. of Resources across shift	No. of shifts	Service Windows	Total Min. Resources
Server, OS, Storage, Tape Library & Backup Management	DC	1	2	6:00 AM to 9:00 PM	2
Server, OS, Storage, Tape Library & Backup Management	DR	1	1	General Shift	1
DB Management	DC	1	2	6:00 AM to 9:00 PM	2
Application	DR	1	2	7:00AM to 7PM	2

Note: Bidders are hereby notified that terms & conditions mentioned in the RFP, Pre-bid responses/corrigendum/addendum will be part and parcel of Service Level Agreement (SLA) and it is not negotiable.

5. Technical Requirement

5.1 Minimum Technical Specifications for new Hardware, Software for AML solution: -.

The AML solution should be installed and configured at Bangalore Data Centre (DC), Disaster Recovery (DR) and UAT at Kolkata.

The setup at DC should have availability in HA mode with active-active, however the setup at DR will be in standalone mode.

- Bidder may take into account the above mentioned transactions per day while projecting the 5 years sizing and quote any additional hardware required with respect to cores/RAM to sustain 5 years' growth.
- Tape Library: LTO7/LTO8 drives for DC and DR to cater to the Backup requirement. These drives will be in a separate virtual partition on the existing library. A suitable Backup Software and necessary hardware should be factored in for backing up AML data on to the tape library.

At any point of time if the implemented solution faces any kind of slowdown due to hardware related issues then the bidder will have to upgrade the respective hardware to resolve the issue without any extra cost to the Bank

Part-V

1. Order Details

The purchase order will be placed by Bank Head Office, DIT in the name of selected bidder as per requirement. The payment will be made by Head Office, DIT and the Performance Bank Guarantee for order will be required to be submitted at Head office. Any decision of the Bank in this regard will be final & conclusive and binding upon the bidder.

2. Schedule Of Implementation

The total time for project implementation of (Supply, Customization and Deployment, go live) Anti-Money & Trade Based Money Laundering Solution will be **6 months** from the date of the Purchase Order (between Bank and selected L1 Vendor). Vendor is required to adhere to full project implementation schedule of **6 months**. The vendor should submit a detail project plan and escalation matrix for implementation within one week of Letter of Intent.

3. Contract Period

The tenure of the Contract will be for a period of **5 (Five) years** effective from the date of execution of the Service Level Agreement (SLA) unless terminated earlier by the Bank by serving 90 days' prior notice in writing to the selected bidder at its own convenience without assigning any reason and without any cost or compensation therefor. However, after the completion of initial contract period of **5 (five years)**, the contract may be extended/renewed for another **three (3) years** with mutually agreed terms and conditions as would be decided by the Bank.

The performance of the selected bidder shall be reviewed every quarter and the Bank reserves the right to terminate the contract at its sole discretion by giving 90 days' notice without assigning any reasons and without any cost or compensation therefor. Any offer falling short of the contract validity period is liable for rejection.

The selected bidder is required to enter into a Service Level Agreement (SLA), the format whereof is to be supplied by the Bank

4. Warranty, AMC & ATS

For Software and Licenses

The Selected Bidder must provide 1 (One) year comprehensive on-site warranty after completion of Implementation (Go-Live Sign off), which should be completed within 6 months from the date of issuance of Purchase Order. The

Bidder has to provide ATS for all the Software equipment supplied under this RFP for Four years after the expiry of warranty period.

The Onsite FM Service for the solution to be provided post implementation for the remaining contract period i.e. Upto 5 years including implementation & warranty period. Bidder will mention the ATS charges for 2nd Year, 3rd Year, 4th Year and 5th Year as per the commercial format.

- i. The Vendor would be responsible for updates, patches, bug fixes, version upgrades.
- ii. During ATS, the selected Vendor will be responsible for the following:
 - Overall maintenance and working of the AML solution
 - The selected Vendor should fix the bugs and carry out the necessary rectifications wherever necessary and deliver patches/ version changes effected. Provision should be available for version control and restoring the old versions in case of need by the Bank.
 - Enhancement, modifications, customization, patches, upgrades due to statutory, regulatory, industry, specific changes (including installation of new upgrades.) to be performed without any additional cost.
 - Configuration changes, version up-gradations, performance monitoring, trouble shooting, patch installation, running of batch processes, database tuning, replacement / support, technical support for application and data maintenance, recovery, query generation and management etc. of all software supplied under this RFP.
 - Undertake immediate bug fix actions in the event of software failure causing an interruption of operation of the AML as per the response / resolution times defined by Bank.
 - Notify all the detected software errors and correct them to meet the uptime.
 - Support the Bank in integrating any new applications to the AML.
 - In case the primary system fails, Switching to the DR site.

For Hardware

The Selected Vendor must provide **3 (Three)** year on-site comprehensive warranty for all items to be supplied under this RFP covering all parts and labour from the date of acceptance of the systems by UCO Bank at the respective locations i.e. on-site comprehensive warranty and **two year AMC** (4th Year AMC & 5th Year AMC),

- i. During the warranty period, the selected Vendor will have to undertake comprehensive maintenance of the entire application, system software, hardware and accessories supplied by the selected Vendor.

- ii. The selected Vendor shall be fully responsible for the manufacturer's warranty for all equipment, accessories, spare parts etc. against any defect arising from design, material, manufacturing workmanship, or any act or omission of the manufacturer / Vendor or any defect that may develop under normal use of supplied equipment during the warranty period.

Warranty shall not become void even if UCO Bank buys any other supplemental hardware from a third party installs it with / in these machines. However, the warranty will not be applied to such hardware installed. Besides the above, the vendor will have to enter into Service Level Agreement (SLA) with the Bank

The payment will be released to the vendor as per the payment schedule defined as below:

- a. There will be no advance payments. There will be no interest on late payment.

Deliverables	% of Payment	Stages (On Completion of the activities)
Hardware	70%	Delivery of the Hardware and submission of invoice with Proof of Delivery and other documents
	30%	On Successful installation and acceptance of the infrastructure / hardware by the bank
Database systems, OS & Other Peripheral	70%	On delivery of licenses on submission of invoice with proof of delivery.
	30%	On successful implementation and Acceptance of Database systems, OS & Other peripheral software by the bank
Anti-Money & Trade Based Money Laundering Solution licenses	60%	Delivery of Base version of respective application software and on submission of Invoice and proof of Delivery.
	10%	On successful completion of current state assessment, gap analysis and system specification definition Phase for respective applications
	10%	On UAT sign off for respective applications
	10%	On successful release of customized software to production, for respective applications
	10%	One month after successful release of application to production
Solution Implementation Cost	40%	SRS Sign-off of respective application
	40%	Go-live of application
	20%	After Rollout Phase
Training	100%	Will be paid as and when each batch of

Deliverables	% of Payment	Stages (On Completion of the activities)
		training is completed
AMC/ ATS	ATS Yearly in Advance AMC Quarterly in Arrears	The AMC/ATS shall commence on completion of the warranty period (3 years for hardware and One year for software/services). * AMC / ATS warranty of all component will start after Go live of that Component only. Bidder has to provide (a warranty of 3 Years for Hardware and 1 Year for Software).
Managed Services	Quarterly in arrears	The Bidder shall provide managed services for all in scope software and hardware. The facilities management costs towards managed services will therefore commence after successful Go-Live of the project and sign off by the Bank. The bidder must note that the managed services should be available for all environments viz., production,
Hardware & Peripheral software installation & commissioning	40%	On successful implementation of hardware & peripheral software
	40%	On successful completion of acceptance testing of hardware & peripheral software by the Bank
	20%	After three months of acceptance sign off by the Bank
Quality Assurance	50%	On submission of the Benchmarking Report
	50%	On Sign off the Benchmarking report by Bank
Charges for Data Migration Audit	25%	Submission of Data Migration Audit Strategy Document
	25%	Installation of Tool
	25%	Field Wise (Pre-Migration Reports)
	25%	Field Wise (Post-Migration Reports)
3rd party Configuration Review and Audit	40%	Submission of Configuration Review report
	30%	Submission of VAPT Report
	30%	Submission of IS Audit and Functional and technical Specification Report

5. Schedule of Implementation

IMPLEMENTATION ROADMAP AND SCHEDULE OF DELIVERY

Below Timelines are application for all 2 countries in parallels

S. no	Milestone (Comprehensive AML & TBML Solution)	Timeline from PO (T)
1	Onboarding to team	T+1 Week
2	Kick Off:- Submission of Project Plan - Detailing each task with target date and assigned resources including migration plan of existing data and installation of all items supplied and integration with existing infrastructure at DC and DR.	T+2 Weeks
3	Delivery of Hardware & software at DC & DR	T+6 Weeks
4	Power-on, Basic Installation, configuration, commission and documentation of all items supplied at DC and DR Sites	T+8 Weeks
5	Submission of HLD	T+7 Weeks
6	Core Team Training completion	T+12 Weeks
7	Data Requirement Identification and Analysis (Not dependent on Hardware)	T+6 Weeks
8	Interface requirements (Not dependent on Hardware)	T+6 Weeks
9	SRS Sign off (Not dependent on Hardware)	T+7 Weeks
10	Submission of LLD	T+8 Weeks
11	Application installation, Configuration & Master Set up	T+9 Weeks
12	Development & Customization	T+16 Weeks
13	Interface Customisation with internal & external systems	T+18 Weeks
14	SIT, UAT, Pre Data Migration completion	T+22 Weeks
15	Benchmarking	T+23 Weeks
16	Go-Live	T+24 Weeks

6. Penalty

The selected Vendor shall perform its obligations under the respective work order and the agreement entered into with the Bank, in a professional manner.

If the Vendor fails to complete the due performance of the contract in accordance with the specification and conditions of the offer document, the Bank reserves the right either to cancel the order or to recover a suitable amount as deemed reasonable as Penalty / Liquidated Damage for non-performance.

If the solution, or any of its components behaves erroneously which results in monetary or business loss to the Bank, then the entire amount of such loss shall be recovered from the Vendor on actual basis.

a. Delayed Installation

- i. The Vendor is required to deliver, install and commission the equipment required for the Comprehensive AML & TBML Solution as per the schedule mentioned.
- ii. The Hardware is required to be configured by the Vendor within 4 weeks from the date of issuance of purchase order.
- iii. Penalty for non-adherence to the schedule for installation and commissioning will attract a penalty of 0.25% of the Total Contract value per week after the period of 16 weeks. (If the delay period is more than 3 days, it will be treated as one full week).

b. Downtime

Vendor should provide facility of single point of contact for any downtime error resolution and the Vendor should submit downtime report quarterly to bank. Penalty for the same will be levied to the Vendors as given in clause 20 below.

c. Facility Management

- Facility Management resources should be compensated with similar resources for their non-availability.
- In case of non-availability of any resource for any shift will attract a deduction in cost of all resources for 1 day.

d. Other

- A penalty of not maintaining desired Uptime for the implemented solution will attract penalty of 2% of the total ATS/AMC for the respective period.

- Penalty for not upgrading Hardware size for proper functioning will be levied at rate of 1% of TCO per week till the problem is resolved.
- Penalty for not handling of up to 5 crore transactions per day within 6-7 hours, scalable upto 10 crores transaction per day will attract penalty of 1% of TCO per week.

Maximum penalty for non-conformance would be capped at the **10%** of cost of the project if otherwise not mentioned.

The Bank may without prejudice to its right to effect recovery by any other method, deduct the amount of penalties from any money belonging to the Vendor in its hands (which includes the Bank's right to claim such amount against Vendor's performance Guarantee) or which may become due to the Vendor. Any such recovery or penalties shall not in any way relieve the Vendor from any of its obligations to complete the works / Services or from any other obligations and liabilities under the Contract.

UCO Bank reserves the right to impose / waive off the penalties.

7. Service Support

a. Any components, including the software deliverables / hardware equipment that are reported to be down on a given date should be repaired / replaced with identical or higher configuration within 24 hours at no extra cost to the Bank. The same should be made operational within 36 hours. The timeliness provided in this section pertains to replacement of redundant components. However the Vendor has to maintain the required uptime.

b. The Vendor should provide the support Facility Management Services as per the facility management clause in scope of work.

c. Unlimited number of support request raised by the Bank for the issues faced in the solution.

d. Response & Resolution time to be followed as per severity defined in the table below:

Incident Severity	Impact	Description	Typical Response time	Typical Resolution time
Critical	Critical	System Down -	5 min	•During Business hours – 20

		Unable to perform Business Operations		min •Non-Business Hours - Within 2 hours or earlier as per business hours if business hours begin
Key	Major	Major Disruption - Significant Impact on Business Operations	5 min	•During business hours - Within 40 minutes •Non business hours - Within 4 hours or earlier as per business hours if business hours begin
Significant	Minor	Minor Disruption - Low impact on Business Operations. If Customisations required.	5 min	•Major / Minor Customizations / Changes required - Time period decided by mutual agreement Response and resolution for other criteria. •During business hour – within 4 hours. Not supporting during non-business hours.

A penalty of Rs. **5,000/-** shall be charged per hour for non-conformance with the aforementioned table. Maximum penalty for non-conformance would be capped at the **10%** of cost of the project.

8. Liquidated Damage

Notwithstanding Bank's right to cancel the order, liquidated damages at 1% (One percent) of the undelivered portion of the order value per week will be charged for every week's delay in the specified delivery schedule subject to a maximum of 10% of the total cost of ownership. Bank will have right to recover these amounts by any mode such as adjusting from any payments to be made to the Vendor or from the performance Bank Guarantee. Liquidated damages will be calculated per week basis. Dispatch details shall be shared by the vendor regularly after handing over the consignment to the concerned Courier Agency/Indian Postal services.

If the selected Bidder fails to provide any of the services after starting of operations, as per the terms of this RFP, the Bank shall be entitled to charge penalty/ liquidated damages @ 5% of the monthly bill, per week or part thereof.

The Bank reserves its right to recover these amounts by any mode including adjusting from any payments to be made by the Bank to the Bidder. Bank may invoke the Bank Guarantee for further delay in delivery & migration.

9. Paying Authority

The payment will be made by UCO Bank, Head Office-2, DIT. However, all the payments shall be subject to the performance / delivery of the Services to the satisfaction of the Bank for this purpose.

However, Payment of the Bills would be released, on receipt of advice /confirmation for satisfactory delivery and commissioning, live running and service report etc. after deducting all penalties.

10. Performance Bank Guarantee

The selected Bidder shall, within a period of fifteen (15) days from the date of Letter of Intent (LOI)/**Purchase Order** (PO) have to furnish a Performance Bank Guarantee, format as per Annexure –V issued by any scheduled commercial bank (other than UCO Bank) equivalent to 3% of the project cost/**Total Cost of Ownership (TCO)** valid for a period of 63 months (60 months + a claim period of three (3) months) from the date of Letter of Intent (LOI)/**Purchase Order** (PO) for indemnifying any loss to the Bank.

However, the selected Bidder may have to extend the validity of the Performance Bank Guarantee for a period of AMC/ATS as required by the Bank.

The Performance Bank Guarantee shall act as a security deposit either in case the selected Bidder is unable to commence the project within the stipulated time or the commencement of the project is delayed inordinately beyond the acceptable levels, the Bank reserves the right to forfeit the same.

Further, the Bank reserves the right to invoke the Performance Bank Guarantee in case the selected Bidder is not able to fulfill any and/or all conditions specified in the document or is unable to complete the project within the stipulated time and such breach remains uncured within such period as mentioned in the Clauses of Termination/**Order Cancellation**. This is independent of the Liquidated Damages (LD) on delivery and installation.

The selected Bidder shall be responsible for extending the validity date and claim period of the Performance Bank Guarantee as and when it is due on the account of non-completion of the project and warranty period.

In case the Service Level Agreement/Contract is extended, the selected Bidder shall have to submit the Bank Guarantee equivalent to 10% of the project

cost/Total Cost of Ownership (TCO) for the extended period along with a claim period of three (3) months.

11. Price Validity

The selected bidder will be required to keep the price valid for a period of **01 year** (12 months) from the date of issuance of Purchase Order. There shall be no increase in price for any reason whatsoever during the period of 12 months and Bank may place the additional Purchase Orders to the selected bidder for any or all of the services at the agreed unit rate for line items as mentioned in the commercial format i.e. Annexure – XXI during the price validity period of 12 months.

12. Single Point Of Contact

The selected bidder shall appoint a single point of contact, with whom Bank will deal, for any activity pertaining to the requirements of this RFP.

13. Right To Alter Quantities

The Bank reserves the right to alter the number of hardware hardware/software/licenses specified in the tender in the event of changes in plans of the Bank. Any decision of UCO BANK in this regard shall be final, conclusive and binding on the bidder. The bank reserves the right to place order for additional hardware/software/licenses at the agreed price during the contract period with the same terms and conditions. Banks is not obligate to purchase all the quantity of the hardware/software/licenses as mentioned above. Bank reserves the right to alter the quantities at any time **not exceeding 25% of the total contract value** without prior notice to the selected bidder(s).

14. Preliminary Scrutiny

UCO 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 all the necessary information supported by documentary evidences are submitted as per prescribed method. Offers not meeting the prescribed guidelines and or with incorrect information or not supported by documentary evidence, wherever called for, would summarily be rejected. However, UCO Bank, at its sole discretion, may waive any minor non-conformity or any minor irregularity in an offer. UCO Bank reserves the right for such waivers and this shall be binding on all vendors.

15. Award Of Contract

The bidder who qualifies in the technical evaluation will qualify for commercial evaluation. The bidder whose bid has been determined to be responsive and who quotes the lowest price will be treated as L1 Bidder. Any decision of UCO Bank in this regard shall be final, conclusive and binding upon the bidder(s).

16. Taxes

- a. Bidder shall be solely liable for the payment of all taxes, duties, fines, penalties, etc., by whatever name called as may become due and payable under the local, state and/or central laws, rules and/or regulations as may be prevalent and as amended from time to time in relation to the services rendered pursuant to this agreement. The Bank may in its discretion, but without being bound to do so, make payment of Taxes, duties as aforesaid and in the event of such payment, Bank shall be entitled to deduct the payment so made from the payment due to Bidder in respect of Bills.
- b. The Bank shall not be liable nor responsible for collection and / or payment of any such taxes, duties, fines, penalties etc., by whatever name called, that are due and payable by bidder, under the local, state and/ or central laws, rules and /or regulations as may be prevalent and as amended from time to time.
- c. Nothing contained herein shall prevent the Bank from deducting taxes deductible at source as required by any law/s or regulation/s. Bidder shall be responsible to report any non-receipt of certificate of taxes deducted at source within ninety (90) days of deduction of such taxes at source by the Bank to bidder. The Bank will not issue any duplicate certificate for deduction of taxes at source unless such request is made within ninety (90) days of the closure of the financial year.
- d. Bidder shall co-operate fully in the defence of any claim/s by any local, state or union authorities against The Bank with respect to any taxes and/or duties due and payable by bidder and /or individuals assigned by bidder under this agreement. Without limiting the generality of the foregoing bidder shall upon request by The Bank, give to The Bank all documents, evidences in a form satisfactory to The Bank to defend such claim/s. Any claims filed against The Bank, the cost to be borne by the selected bidder.
- e. The payments which is/are **inclusive of GST and other taxes, fees etc.** as per the Payment Schedule covered herein above shall be paid by Department of Information Technology, UCO Bank, Head Office – Kolkata. However, Payment of the Bills would be released, on receipt of advice / confirmation for satisfactory delivery and commissioning, live running and service report etc. after deducting all penalties.

17. Confidentiality and Secrecy

The RFP document is confidential and is not to be reproduced, transmitted, or made available by the Recipient to any other party. The RFP document is provided to the Recipient on the basis of the undertaking of confidentiality given by the Recipient to Bank. Bank may update or revise the RFP document or any part of it. The Recipient acknowledges that any such revised or amended document is received subject to the same terms and conditions as this original and subject to the same confidentiality undertaking.

The Recipient will not disclose or discuss the contents of the RFP document with any officer, employee, consultant, director, agent, or other person associated or affiliated in any way with Bank or any of its customers, suppliers, or agents without the prior written consent of Bank.

The bidder/selected bidder must undertake that they shall hold in trust any Information received by them under the Contract/Service Level Agreement, and the strictest of confidence shall be maintained in respect of such Information. The bidder has also to agree:

- To maintain and use the Information only for the purposes of the Contract/Agreement and only as permitted by BANK;
- To only make copies as specifically authorized by the prior written consent of Bank and with the same confidential or proprietary notices as may be printed or displayed on the original;
- To restrict access and disclosure of Information to such of their employees, agents, strictly on a "need to know" basis, to maintain confidentiality of the Information disclosed to them in accordance with this Clause, and
- To treat all Information as Confidential Information.
- The selected service provider acknowledges and agrees that all tangible and intangible information obtained, developed or disclosed including all documents, data, papers, statements, any business/customer information, trade secrets and process of the UCO Bank relating to its business practices in connection with the performance of services under this Agreement or otherwise, is deemed by the UCO Bank and shall be considered to be confidential and proprietary information ("Confidential Information"), solely of the UCO Bank and shall not be used/disclosed to anybody in any manner except with the written consent of The UCO Bank.

- The selected service provider shall ensure that the same is not used or permitted to be used in any manner incompatible or inconsistent with that authorized by the UCO Bank. The Confidential Information will be safeguarded and the selected service provider will take all necessary action to protect it against misuse, loss, destruction, alterations or deletions thereof.
- **Conflict of interest:** The Vendor shall disclose to BANK in writing, all actual and potential conflicts of interest that exist, arise or may arise (either for the Vendor or the Bidder's team) in the course of performing the Service(s) as soon as practical after it becomes aware of that conflict.
- **The successful Bidder is required to execute a Non-Disclosure Agreement to the bank as per bank's format before or at the time of execution of the Service Level Agreement.**

18. Compliance with Laws

The Vendor shall undertake to observe, adhere to, abide by, comply with and notify the Bank about all laws in force or as are or as made applicable in future, pertaining to or applicable to them, their business, their employees or their obligations towards them and all purposes of this Contract and shall indemnify, keep indemnified, hold harmless, defend and protect the Bank and its employees/officers/staff/ personnel/ representatives/ agents from any failure or omission on its part to do so and against all claims or demands of liability and all consequences that may Occurs or arise for any default or failure on its part to conform or comply with the above and all other statutory obligations arising therefrom.

All the employees/operator deployed by the Vendor for the digitization activity must comply with government's rules and regulations like Minimum Wages Act, Provident Fund, Labour Law, ESIC facility standard, CVC / RBI guidelines.

This indemnification is only a remedy for the Bank. The Vendor is not absolved from its responsibility of complying with the statutory obligations as specified above. Indemnity would be limited to court awarded damages and shall exclude indirect, consequential and incidental damages. However indemnity would cover damages, loss or liabilities suffered by the Bank arising out of claims made by its customers and/or regulatory authorities.

The Vendor confirms to Bank that it complies with all Central, State, Municipal laws and local laws and rules and regulations and shall undertake to observe, adhere to, abide by, comply with and notify Bank about compliance with all laws in force including Information Technology Act 2000 as amended from

time to time or as are or as made applicable in future, pertaining to or applicable to them, their business, their employees or their obligation's towards them and for all purposes of this Contract, and shall indemnify, keep indemnified, hold harmless, defend and protect Bank and its officers/staff/personnel/representatives/agents from any failure or omission on its part to do so and against all claims or demands of liability and all consequences that may occur or arise for any default or failure on its part to conform or comply with the above and all other statutory obligation's arising the reform.

The Vendor shall promptly and timely obtain all such consents, permissions, approvals, licenses, etc., as may be necessary or required for any of the purposes of this project or for the conduct of their own business under any applicable Law, Government Regulation/Guidelines and shall keep the same valid and in force during the term of the project, and in the event of any failure or omission to do so, shall indemnify, keep indemnified, hold harmless, defend, protect and fully compensate Bank and its employees/officers/staff/personnel/representatives(agents from and against all claims or demands of liability and all consequences that may Occurs or arise for any default or failure on its part to conform or comply with the above and all other statutory obligation's arising there from and Bank will give notice of any such claim or demand of liability within reasonable time to the Vendor.

The Vendor shall also provide a certificate from Statutory Auditor or Cost Auditor of the Company or from practicing Cost Accountant giving the percentage local contents as defined in PPP order issued by GOI from time to time and applicable for the said procurement/project

19. Force Majeure

Force Majeure is herein defined as any cause, which is beyond the control of the selected bidder or the Bank as the case maybe which they could not foresee or with a reasonable amount of diligence could not have foreseen and which substantially affect the performance, such as:

- Natural phenomenon, including but not limited to floods, droughts, earthquakes, epidemics,
- Situations, including but not limited to war, declared or undeclared, priorities, quarantines, embargoes,
- Terrorist attacks, public unrest in work area,

Provided either party shall within ten (10) days from the occurrence of such a cause notify the other in writing of such causes. The Selected bidder or the

Bank shall not be liable for delay in performing his / her obligations resulting from any Force Majeure cause as referred to and / or defined above.

20. Completeness of The Project

The project will be deemed as incomplete if the desired objectives of the project as mentioned in Section "Scope of Work" of this document are not achieved.

21. Acceptance Testing

The Bank will carry out the acceptance tests as per Scope of work Part – IV supplied & implemented by the selected bidder as a part of the Project. The Vendor shall assist the Bank in all acceptance tests to be carried out by the Bank. The provisioned items will be deemed accepted only on successful acceptance of those products and the vendor would need to provision insurance of those items till successful acceptance. The Bank at its discretion may modify, add or amend the acceptance tests which then will have to be included by the vendor. The Vendor shall arrange for the tests at the relevant sites in the presence of the officials of the Bank. The Vendor should ensure that the tests will involve trouble-free operation of the complete system apart from physical verification and testing and that there shall not be any additional charges payable by the Bank for carrying out this acceptance test.

22. Order Cancellation

The Bank reserves its right to cancel/terminate the Order/Agreement in the event of occurrence of one or more of the following circumstances, that are not occasioned due to reasons solely and directly attributable to the Bank alone:

- a) The **selected Bidder/Vendor** commits a breach of any of the terms and conditions of the Letter of Intent/Purchase Order/Agreement;
- b) The selected Bidder/Vendor violates the Laws, Rules, Regulations, Bye-Laws, Guidelines, and Notifications etc.,
- c) Serious discrepancy in the quality of service of selected Bidder/Vendor expected during the implementation, rollout and subsequent maintenance process;
- d) The selected Bidder/Vendor goes into liquidation voluntarily or otherwise;

- e) An attachment is levied or continues to be levied upon the selected Bidder/Vendor for a continuous period of 7 days upon the effects of the order;
- f) The progress regarding execution of the order by the selected Bidder/Vendor is found to be unsatisfactory;
- g) Non-compliance by the selected Bidder/Vendor of the scope of the job;
- h) Repetitive failure of the deployed personnel of the **selected** Bidder/Vendor to perform the job to the satisfaction of the Bank;
- i) The selected Bidder/Vendor fails to complete the assignment as per the timelines prescribed in the Work Order/ said Agreement/Contract and the extension, if any allowed.
- j) On the events of data piracy/privacy/system failures/security failures by the selected Bidder/Vendor;
- k) If deductions on account of liquidated damages exceed more than 10% of the total order price.

In case of cancellation/termination of Order/Agreement due to the above stated situations, the following consequences will entail:

- i. In case the selected Bidder/Vendor fails to deliver the ordered hardware, software, services and FM resources as stipulated in the delivery schedule, UCO BANK reserves the right to procure these deliverables from alternate sources at the risk, cost and responsibility of the selected Bidder/Vendor with the capping of 125% of the original quoted cost for such deliverable.**
- ii. If the selected Bidder/Vendor does not perform satisfactorily or delays in execution of contract, UCO Bank reserves the right to get the balance order executed by another party of its choice, in this event the selected Bidder/Vendor is bound to make good with the capping of 125% of the original quoted cost for such deliverable, which UCO Bank may have to incur in executing the balance order. This clause is applicable, if for any reason, the order is cancelled.**
- iii. UCO Bank reserves the right to recover any dues payable by the selected Bidder/Vendor under the contract from any amount outstanding to the credit of the selected Bidder/Vendor, including the bills and /or invoking the Performance Bank Guarantee under this Agreement.

- iv. In case of cancellation of order, any advance payments (except payment against ATS) made by the Bank to the selected Bidder/Vendor for implementation of project, would necessarily have to be returned to the Bank. If the selected Bidder/Vendor fails to return such payment within thirty (30) days, then the selected Bidder/Vendor have to return the amount to the Bank with interest @ 15% per annum, further the selected Bidder/Vendor would also be required to compensate the Bank for any direct loss suffered by the Bank due to the cancellation of the contract/purchase order and any additional expenditure to be incurred by the Bank to appoint any other Vendor. This is after repaying the original amount paid.
- v. The selected Bidder/Vendor shall be liable under this section if the contract/purchase order has been cancelled in case the sum total of penalties and deliverables exceeds 10% of the TCO.

In case of order cancellation/termination, Bank will notify the selected Bidder/Vendor within Ninety (90) days' notice period inclusive of Thirty (30) days cure period before cancellation/termination of the Order/Agreement. However, it is clarified that the notice should specifically contain that the Ninety (90) days period for cancellation is inclusive of cure period of Thirty (30) days, if the selected Bidder/Vendor fails to cure within Thirty (30) days' time the notice for cancellation will become absolute. For the sake of clarity, the period of 90 (Ninety) days will begin from the date of receipt of termination/cancellation notice in accordance with Clause no. 44 (in Part-V) of this Agreement. Any other mode of communicating the termination/cancellation of the Agreement will be deemed to be invalid.

The rights of the Bank enumerated above are in addition to the rights/remedies available to the Bank under the law(s) for the time being in force.

23. Indemnity

In consideration of the Bank having agreed to accept our offer in terms of Request for Proposal No. dated 29/01/2022, We the Vendor herein doth hereby agree and undertake that we shall indemnify and keep indemnified the Bank including its respective Directors, Officers and Employees, from and against any claims, demands, actions, proceedings, damages, recoveries, judgements, costs, charges liabilities, losses arising out of all kinds of accidents, destruction, deliberate or otherwise, violation of applicable laws, regulations, guidelines and/or environmental damages, if any, during the contract period or expenses of any nature and kind whatsoever and by whomsoever made in respect of the said Contract and any damage caused from and against all suits and other actions that maybe instituted or preferred against the Bank or which the Bank may have

to bear, pay or suffer directly or indirectly due to omission or commission of any act on our part and/or on the part of our employees, representatives, agents and/or associates, sub-contractors in performance of the obligations enumerated under the said Request for Proposal and Service Level Agreement/Contract/Master Service Level Agreement dated _____;

We the Vendor further irrevocably and unconditionally agree and undertake to hold the Bank harmless, indemnify and keep the Bank indemnified from any of its following acts and deeds, irrespective of the value, genuineness or enforceability of the aforesaid Contract/Agreement or insolvency, bankruptcy, reorganisation, dissolution, liquidation or change in ownership of UCO Bank or us or any other circumstance whatsoever which might otherwise constitute a discharge of the Vendor:

a) material breach of any of the terms of the RFP/ SLA or breach of any representation or false representation or inaccurate statement or assurance or covenant or warranty of the service provider under these presents and/or Request for Proposal and Service Level Agreement/Contract/Master Service Level Agreement;

b) infringement of any intellectual property right, patents, trademarks, copyrights or breach of confidentiality obligations etc., including any claims of infringement of any third-party copyright, patents or other intellectual property and/or any third-party claims on the Bank for malfunctioning of the equipment, software or deliverables or usage of any license, or such other statutory infringement in respect of all components provided to fulfil the scope of work under these presents and/or Request for Proposal and Service Level Agreement/Contract/Master Service Level Agreement;

c) for any loss or damages caused to the Bank's premises or property, loss of reputation & loss of life etc., solely attributable due to the acts of the Vendor/Vendor's employees, representatives, agents and/or associates;

d) non-compliance of the Vendor with the applicable laws and/or statutory obligations, if any, in performing its duties as a service provider under the said Request for Proposal and Service Level Agreement/Contract/Master Service Level Agreement;

e) Negligence or gross misconduct attributable to the Vendor, its employees, representatives, agents and/or associates or any liabilities which pose significant risk;

We shall not enter into any settlement, compromise or make any statement (including failure to take appropriate steps) that may be detrimental to the rights, interest and reputation of the Bank (and/or its customers, users and service providers).

All indemnities shall survive notwithstanding the expiry or termination of Service Level Agreement/Contract/Master Service Level Agreement and we shall continue to be liable under the indemnities.

Any notice, request or other communication to be given or made under this indemnity shall be in writing addressed to either Party at the address stated in the aforesaid Agreement/Contract.

We hereby declare that this Indemnity is in addition to the Liquidated Damages as provided in these presents.

24. Publicity

Any publicity by the selected bidder in which the name of the Bank is to be used should be done only with the explicit written permission of the Bank. The Bidder shall not make or allow making a public announcement or media release about any aspect of the Contract unless The Bank first gives the Bidder its prior written consent.

25. Privacy and Security Safeguards

The selected bidder shall not publish or disclose in any manner, without the Bank's prior written consent, the details of any security safeguards designed, developed, or implemented by the selected bidder under this contract or existing at any Bank location. The Selected bidder shall develop procedures and implementation plans to ensure that IT resources leaving the control of the assigned user (such as being reassigned, removed for repair, replaced, or upgraded) are cleared of all Bank Data and sensitive application software. The Selected bidder shall also ensure that all subcontractors who are involved in providing such security safeguards or part of it shall not publish or disclose in any manner, without the Bank's prior written consent, the details of any security safeguards designed, developed, or implemented by the selected bidder under this contract or existing at any Bank location

26. Technological Advancements

The Selected bidder shall take reasonable and suitable action, taking into account economic circumstances, at mutually agreed increase / decrease in charges, and the Service Levels, to provide the Services to the Bank at a

technological level that will enable the Bank to take advantage of technological advancement in the industry from time to time.

27. Guarantees

Selected bidder should guarantee that all the material as deemed suitable for the delivery and management for the RFP for Procurement of Comprehensive Anti-Money & Trade Based Money Laundering Solution for Hongkong & Singapore Centres. All hardware and software must be supplied with their original and complete printed documentation.

28. Exit Option and Contract Re-Negotiation

The Bank reserves the right to cancel the said Agreement/Contract in the event of happening one or more of the following conditions:

- a) Failure of the selected bidder/Vendor to accept the Letter of Intent/Purchase Order and/or failure to furnish the Performance Bank Guarantee within a period of fifteen (15) days of receipt of Letter of Intent/Purchase Order;
- b) Delay in commissioning the Project beyond the specified period;
- c) Delay in completion of the commissioning/implementation and acceptance tests/ checks beyond the specified periods;

Bank will notify the selected bidder/Vendor with Ninety (90) days' notice inclusive of a cure period of thirty (30) days before cancellation/termination. However, it is clarified that the notice should specifically contain that the Ninety (90) days period for cancellation is inclusive of a cure period of thirty (30) days, if the Vendor fails to cure within thirty (30) days' time, then the notice for cancellation will become absolute. For the sake of clarity, the period of Ninety (90) days will begin from the date of receipt of termination/cancellation notice in accordance with Clause no. 44 (in Part-V) of this Agreement. Any other mode of communicating termination/cancellation of the Agreement will be deemed to be invalid.

In addition to the cancellation of Purchase Order/said Agreement/Contract, the Bank reserves the right to appropriate the damages through invocation of Performance Bank Guarantee furnished by the selected bidder/Vendor.

Notwithstanding the existence of a dispute, and/or the commencement of arbitration proceedings, the Vendor will be expected to continue the services. The Bank shall have the sole and absolute discretion to decide whether proper reverse transition mechanism over a period of six (6) to twelve (12) months, has been complied with. In the event of the conflict not being resolved, the conflict will be resolved through Arbitration.

The Bank and the Vendor shall together prepare the Reverse Transition Plan. However, the Bank shall have the sole decision to ascertain whether such Plan has been complied with.

Reverse Transition mechanism would typically include service and tasks that are required to be performed / rendered by the Vendor to the Bank or its designate to ensure smooth handover and transitioning of Bank's deliverables, maintenance and facility management.

The reverse transition period may or may not be within the contract period. In case the reverse transition period falls within the contract period, all the terms & conditions, scope of work mentioned in the contract will hold good along with smooth handover and transitioning of Bank's deliverables to the Bank or its designates/nominees and no extra payment shall be paid by the Bank for such reverse transition.

However, if the reverse transition mechanism to be adopted after the expiry of the contract period, the Bank and the Vendor shall together prepare the Reverse Transition Plan for smooth handover and transitioning of Bank's deliverables to the Bank or its designates/nominees including maintenance and facility management. Though in such case the Bank shall have the sole authority to ascertain whether such Plan has been complied with, but the payment for such reverse transition would be determined on pro rata basis or on mutual consent of the Parties.

29. Termination for Convenience

The Bank, by a written notice for a period of ninety (90) days (both in words and figures) sent to the selected Bidder/Vendor, may terminate the said Agreement/Contract, in whole or in part, at any time at its convenience. The notice of termination shall specify that the termination is for Bank's convenience, the extent to which the performance of work under the said Agreement/Contract is terminated and the date upon which such termination becomes effective.

30. Termination for Insolvency

The Bank may at any time terminate the Contract by giving written notice **(90 days' notice period)** to the Bidder, if the Bidder becomes bankrupt or otherwise insolvent. In this event, termination will be without compensation to the Bidder, provided that such termination will not prejudice or affect any right of action or remedy, which has accrued or will accrue thereafter to the Bank.

31. Termination for Default

The Bank, without prejudice to any other remedy for breach of Contract, by written notice of default sent to the bidder, may terminate this Contract in whole or in part, if the bidder fails to perform any obligation(s) under the Contract.

In case of Termination for Default Bank will provide notice period of 90 days inclusion cure period of 30 days. However, it is clarified that the notice should specifically contain that the 90 days' period for cancellation is inclusive of cure period of 30 days, if the Vendor fails to cure within 30 days' time the notice for cancellation will become absolute.

32. Consequences of Termination

In the event of termination of the Contract due to any cause whatsoever, (whether consequent to the stipulated term of the Contract or otherwise), UCO Bank shall be entitled to impose any such obligations and conditions and issue any clarifications as may be necessary to ensure an efficient transition and effective business continuity of the Service(s) which the Vendor shall be obliged to comply with and take all available steps to minimize loss resulting from that termination/breach, and further allow the next successor Vendor to take over the obligations of the erstwhile Vendor in relation to the execution / continued execution of the scope of the Contract.

In the event that the termination of the Contract is due to the expiry of the term of the Contract, a decision not to grant any (further) extension by UCO Bank, the bidder herein shall be obliged to provide all such assistance to the next successor bidder or any other person as may be required and as UCO Bank may specify including training, where the successor(s) is a representative/personnel of UCO Bank to enable the successor to adequately provide the Service(s) hereunder, even where such assistance is required to be rendered for a reasonable period that may extend beyond the term/earlier termination hereof.

Nothing herein shall restrict the right of UCO Bank to invoke the Performance Bank Guarantee and other guarantees, securities furnished, enforce the Deed of Indemnity and pursue such other rights and/or remedies that may be available to UCO Bank under law or otherwise.

The termination hereof shall not affect any accrued right or liability of either Party nor affect the operation of the provisions of the Contract that are expressly or by implication intended to come into or continue in force on or after such termination.

33. Signing of Contract

The selected bidder(s) shall be required to enter into a service level agreement (SLA) with UCO Bank, within 15 days of the award of the Bid through a Letter of Empanelment or within such extended period as may be specified.

The SLA shall be based on the requirements of this RFP, the terms and conditions of purchase order, the letter of acceptance and such other terms and conditions as may be determined by the Bank to be necessary for the proper performance of the work in accordance with the Bid and the acceptance thereof, with terms and conditions contained in a Memorandum of Understanding to be signed at the time of execution of the Form of Contract.

The selected bidder will also sign a Non-Disclosure Agreement and Deed of Indemnity with the Bank on a format prescribed by the Bank.

34. Technical Inspection and Performance Evaluation

UCO Bank reserves its right to carry out a technical inspection and performance evaluation (bench-marking) of the offered item(s). Bank may instruct eligible bidders to make technical presentation at Bank's Head Office, Kolkata for the proposed solution / service. Bidders will have to make such presentation at their own cost.

35. Verification

UCO Bank reserves the right to verify any or all statements made by the vendor in the Bid document and to inspect the vendor's facilities, if necessary, to establish to its satisfaction about the vendor's capacity to perform the job.

36. Dispute Resolution Mechanism

- a. The Bidder and The Bank shall endeavour their best to amicably settle all disputes arising out of or in connection with the Contract in the following manner:
 - i. The Party raising a dispute shall address to the other Party a notice requesting an amicable settlement of the dispute within seven (7) days of receipt of the notice.
 - ii. The matter will be referred for negotiation between Deputy General Manager of The Bank / Purchaser and the Authorised Official of the Bidder. The matter shall then be resolved between them and the agreed course of action documented within a further period of 15 days.
- b. In case any dispute between the Parties, does not settle by negotiation in the manner as mentioned above, the same may be resolved exclusively by arbitration and such dispute may be submitted by either party for arbitration

within 20 days of the failure of negotiations. Arbitration shall be held in Kolkata and conducted in accordance with the provisions of Arbitration and Conciliation Act, 1996 or any statutory modification or re-enactment thereof. Each Party to the dispute shall appoint one arbitrator each and the two arbitrators shall jointly appoint the third or the presiding arbitrator.

- c. The "Arbitration Notice" should accurately set out the disputes between the parties, the intention of the aggrieved party to refer such disputes to arbitration as provided herein, the name of the person it seeks to appoint as an arbitrator with a request to the other party to appoint its arbitrator within 45 days from receipt of the notice. All notices by one party to the other in connection with the arbitration shall be in writing and be made as provided in this tender document.
- d. The arbitrators shall hold their sittings at Kolkata. The arbitration proceedings shall be conducted in English language. Subject to the above, the courts of law at Kolkata alone shall have the jurisdiction in respect of all matters connected with the Contract/Agreement even though other Courts in India may also have similar jurisdictions. The arbitration award shall be final, conclusive and binding upon the Parties and judgment may be entered thereon, upon the application of either party to a court of competent jurisdiction. Each Party shall bear the cost of preparing and presenting its case, and the cost of arbitration, including fees and expenses of the arbitrators, shall be shared equally by the Parties unless the award otherwise provides.
- e. The Bidder shall not be entitled to suspend the Service/s or the completion of the job, pending resolution of any dispute between the Parties and shall continue to render the Service/s in accordance with the provisions of the Contract/Agreement notwithstanding the existence of any dispute between the Parties or the subsistence of any arbitration or other proceedings.

37. Arbitration

All dispute or differences whatsoever arising between the selected bidder and the Bank out of or in relation to the construction, meaning and operation, with the selected bidder, or breach thereof shall be settled amicably. If, however, the parties are not able to resolve any dispute or difference aforementioned amicably, the same shall be settled by arbitration in accordance with the Rules of Arbitration of the Indian Council of Arbitration and the award made in pursuance thereof shall be binding on the parties. The Arbitrator / Arbitrators shall give a reasoned award.

Work under the Contract shall be continued by the Selected bidder during the arbitration proceedings unless otherwise directed in writing by the Bank unless

the matter is such that the work cannot possibly be continued until the decision of the arbitrator or of the umpire, as the case may be, is obtained and save as those which are otherwise explicitly provided in the Contract, no payment due to payable by the Bank, to the Selected bidder shall be withheld on account of the on-going arbitration proceedings, if any unless it is the subject matter or one of the subject matters thereof. The venue of the arbitration shall be at KOLKATA, INDIA.

38. 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).

39. Limitation Of Liability

- i. For breach of any obligation mentioned in this document, subject to point no. (iii), in no event the Vendor shall be liable for damages to the Bank arising under or in connection with this Agreement for an amount exceeding the total project cost/contract value.
- ii. The **selected Bidder/Vendor** will ensure Bank's data confidentiality and shall be responsible for liability arising in case of breach of any kind of security and/or leakage of confidential customer/Bank's related information to the extent of **the loss caused to the Bank**.
- iii. The limitations set forth in point no. (i) shall not apply with respect to:
 - a) claims that are the subject of indemnification pursuant to violation of Intellectual Property Rights and Ownership.
 - b) **damages occasioned by the gross negligence or wilful misconduct of selected Bidder/Vendor.**
 - c) damages occasioned by the **selected Bidder/Vendor** for breach of confidentiality obligations.
 - d) Regulatory or statutory **penalty** imposed by the Government or **any** Regulatory agency or non-compliance of statutory or regulatory guidelines applicable to the **Project**.

- iv) **The selected Bidder/Vendor will not be liable for any loss of profits, revenue, contracts or anticipated savings or and consequential or indirect loss or damages however caused.**

“Gross Negligence” means an indifference to, and/or a blatant violation of a legal duty with respect of the rights of others, being a conscious and voluntary disregard of the need to use reasonable care, which is likely to cause foreseeable grave injury or harm to persons, property, or both. Gross negligence involves conduct that is extreme, when compared with ordinary negligence. A mere failure to exercise reasonable care shall not be a gross negligence.

“Wilful Misconduct” means any act or failure to act with an intentional disregard of any provision of this RFP/Contract, which a party knew or should have known if it was acting as a reasonable person, which would result in injury, damage to life, personal safety, real property, harmful consequences to the other party, but shall not include any error of judgment or mistake made in good faith.

40. Amendment(S) In The Contract / Service Level Agreement

There shall be no variation(s) in or modification(s) in the terms of the Contract/ Service Level Agreement save and except by a written mutual consent signed by both the Parties i.e. the Bank and Vendor. Bank shall have the discretion/liberty to give effect to any amendment, modification etc. in the Contract/Service Level Agreement, if so required by Bank, sequel to any amendment(s)/ modification(s) etc. in the applicable Laws/Statutes including but not limited to amendment(s)/ modification(s) etc. in the existing Guidelines/ Instructions issued/to be issued by any Regulatory Authority.

41. Severability

If any provision of this Agreement is held to be illegal, invalid, or unenforceable under any Applicable Law, and if the rights or obligations of the Parties under this Contract/ Service Level Agreement will not be materially and adversely affected thereby (a) such provision will be fully severable; (b) this Contract/Service Level Agreement will be construed and enforced as if such illegal, invalid, or unenforceable provision had never been comprised a part hereof; and (c) the remaining provisions of this Contract/ Service Level Agreement will remain in full force and effect and will not be affected by the illegal, invalid, or unenforceable provision or by its severance here from.

42. Blacklisting

Grounds For Disqualification & Blacklisting

(A) Notwithstanding anything contained in this document, any Bidder/selected Vendor shall be disqualified when –

- i. any Bidder who have been black-listed or otherwise debarred by any Bank/Financial Institution/Central Government/State Government/any Central or State Undertaking or Corporation/Reserve Bank of India or any other Regulatory/Statutory Authority as on date of the publication of this Tender/Procurement;
- ii. any bidder whose Contract/Agreement with any Bank/Financial Institution/Central Government/State Government/any Central or State Undertaking or Corporation/Reserve Bank of India or any other Regulatory/Statutory Authority has been terminated before the expiry of the Contract/Agreement for breach of any terms and conditions at any point of time during the last five years;
- iii. any Bidder whose Earnest Money Deposit and/or Security Deposit have been forfeited by any Bank / Financial Institution/Central Government/ State Government/any Central or State Undertaking or Corporation/ Reserve Bank of India or any other Regulatory/Statutory Authority, during the last five years, for breach of any terms and conditions.

(B) Further disqualification can be imposed by the Bank in accordance with the procedures established, which may include but not limited to the following grounds, either at the stage of Competitive Bidding or at the stage of implementation of the Contract:

Commission of any act of:

- i) submission of a bid, proposal or any other document that is known or should be known by the Bidder to be false, misleading or non- meritorious or to contain false information or concealment of information which will influence the outcome of the eligibility screening/selection process;
- ii) any documented unsolicited attempt by the Bidder to unduly influence the decision making process of the Bank while determining the eligibility screening/selection process in favour of the Bidder;
- iii) unauthorized use of one's name or using the name of another for purpose of bidding;
- iv) breach of the terms of a public contract by a wilful or material failure to perform in accordance with the terms thereof;

- v)** withdrawal of a bid, or refusal to accept an award, or enter into contract with any Bank/Financial Institution/Central Government/State Government/ any Central or State Undertaking or Corporation/Reserve Bank of India or any other Regulatory Authority without any justifiable cause, after the Bidder had been adjudged as having submitted the lowest calculated Responsive Bid or highest rated Responsive Bid;
- vi)** refusal or failure to furnish the required performance security within the prescribed time frame;
- vii)** refusal to clarify or validate the Bid submitted, in writing, within a period of seven (7) calendar days from receipt of the request for clarification if sought by the Bank;
- viii)** that may tend to defeat the purpose of the competitive bidding, such as but not limited to; an eligible Bidder not purchasing the bid documents or not complying with the requirements during the evaluation of bid or habitually withdrawing from bidding or submitting letter of non-participation for at least three (3) times within a year, except for valid reasons;
- ix)** lack of integrity or honesty or fraud, bribery, collusion or conspiracy;
- x)** failure by the Bidder/Vendor, due to solely his fault or negligence, to mobilize and commence the work or perform within the specified time period, as specified in the Tender Document, including but not limited to the Request for Proposal/ Request for Quotation/ Agreement/Letter of Intention/Purchase Order etc.,;
- xi)** failure by the Bidder/Vendor to fully and faithfully comply with its contractual obligations without valid cause, or failure to comply with any written lawful instruction of the Bank or its representative(s) pursuant to the implementation of the Contract, which may include but not limited to the following:
 - a. Employment of competent technical personal, competent engineers and/or work supervisors;
 - b. Provision of warning signs and barricades in accordance with approved plans and specifications and contract provisions;
 - c. Stockpiling in proper places of all materials and removal from the project site of waste and excess materials, including broken pavement and

excavated debris in accordance with approved plans and specifications and contract provisions;

d. Deployment of committed equipment, facilities, support staff and manpower; and

e. Renewal of effectively date of the performance security after its expiry during the tenure of the Contract.

xii) assignment and subcontracting the Contract or any part thereof or substitution of key personnel named in the proposal without prior written approval by the Bank;

xiii) for the procurement of goods, unsatisfactory progress in the delivery of the goods by the manufacturer, supplier or distributor arising from his fault or negligence and/or unsatisfactory or inferior quality of goods, as may be provided in the contract;

xiv) for the procurement of consulting services, poor performance by the consultant of his services arising from his fault or negligence. The poor performance of the Consultant can include and may not be limited to defective design resulting in substantial corrective works in design and/or construction, failure to deliver critical outputs due to consultant's fault or negligence, specifying materials which are inappropriate, substandard, or way above acceptable standards, allowing defective workmanship or works by the contractor being supervised by the consultant etc.,

xv) for the procurement of infrastructure projects, poor performance by the contractor or unsatisfactory quality and/or progress of work arising from his fault or negligence as per the existing performance monitoring system of the Bank shall be applied, quality of materials and workmanship not complying with the approved specifications arising from the contractor's fault or negligence, willful or deliberate abandonment or non-performance of the project or contract by the contractor resulting to substantial breach thereof without lawful and/or just cause.

(C) Any parameters described, *supra*, attributable to any Partner/Director shall be construed as disqualification for the Firm/Company, as the case may be.

(D) The Bank will have the discretion to disqualify the Bidder/Vendor and/or initiate the process for blacklisting the Bidder/Vendor and may also entail forfeiture of performance security furnished by the Bidder/Vendor. “

43. Non-Disclosure

By virtue of Contract, as and when it is entered into between the Bank and the bidder, and its implementation thereof, the bidder may have access to the confidential information and data of the Bank and its customers. The bidder will enter into a Non-Disclosure Agreement to maintain the secrecy of Bank's data as per following:-

- a. That the bidder will treat the confidential information as confidential and shall not disclose to any third party. The bidder will also agree that its employees, agents, sub-contractors shall maintain confidentiality of the confidential information.
- b. That the bidder will agree that it shall neither use, nor reproduce for use in any way, any confidential information of the Bank without consent of the Bank. That the bidder will also agree to protect the confidential information of the Bank with at least the same standard of care and procedures used by them to protect its own confidential Information of similar importance. Without limitation of the foregoing, the bidder shall use reasonable efforts to advise the Bank immediately in the event that the successful bidder learns or has reason to believe that any person who has had access to confidential information has violated or intends to violate the terms of the Contract to be entered into between the Bank and the bidder, and will reasonably cooperate in seeking injunctive relieve against any such person.
- c. That if the bidder hires another person to assist it in the performance of its obligations under the Contract, or assigns any portion of its rights or delegates any portion of its responsibilities or obligations under the Contract to another person, it shall cause its assignee or delegate to be bound to retain the confidentiality of the confidential information in the same manner as the Bidder is bound to maintain the confidentiality. This clause will remain valid even after the termination or expiry of this agreement.
- d. That the bidder will strictly maintain the secrecy of Bank's data.

44. Notices

Notice or other communications given or required to be given under the contract shall be in writing and shall be faxed/e-mailed followed by hand-delivery with acknowledgement thereof, or transmitted by pre-paid registered post or courier. Any notice or other communication shall be deemed to have been validly given on date of delivery if hand delivered & if sent by registered post than on expiry of seven days from the date of posting.

Tender Offer Forwarding Letter

To,
Deputy General Manager (DIT, BPR & BTB)
UCO Bank, Head Office,
Department of Information Technology
5th Floor, 3&4, DD Block, Sector-I
Salt Lake, Kolkata -700064

Dear Sir,

Sub: RFP for Procurement of Comprehensive Anti-Money & Trade Based Money Laundering Solution for Hongkong & Singapore Centers

With reference to the above RFP, having examined and understood the instructions including all annexure, terms and conditions forming part of the Bid, we, the undersigned, hereby enclose our offer for “Procurement of Comprehensive Anti-Money & Trade Based Money Laundering Solution for Hongkong & Singapore Centres” mentioned in the RFP document forming Eligibility, Technical and Commercial Bids being parts of the above referred Bid.

In the event of acceptance of our Eligibility, Technical and Commercial Bids by The Bank we undertake to Supply, Installation and Maintenance of Hardware Software and Licenses for various Projects/Applications as per your purchase orders.

In the event of our selection by the Bank for Procurement of Comprehensive Anti-Money & Trade Based Money Laundering Solution for Hongkong & Singapore Centres, we will submit a Performance Guarantee for a sum equivalent to 3% of the Project Cost to be valid for a period of **63 months (60 months+ claim period of 3 months)** in favour of **UCO BANK** effective from the month of execution of Service Level Agreement.

We agree to abide by the terms and conditions of this tender and our offer shall remain valid for 180 days from the date of commercial bid opening and it remain binding upon us which may be accepted by The Bank any time before expiry of 180 days.

Until a formal contract is executed, this tender offer, together with the Bank's

written acceptance thereof and Bank's notification of award, shall constitute a binding contract between us.

We understand that The Bank is not bound to accept the lowest or any offer the Bank may receive.

We enclose the following:

1. DD No. _____ Dated for Rs. _____ (Rupees _____ Only)
as Cost of RFP Document
2. Bid Security Declaration is enclosed in the bid document

Dated this day of 2022

Signature:

(In the Capacity of)

Duly authorized to sign the tender offer for and on behalf of

General Details of the Vendor**A. Profile of Vendor**

1. Name of bidder:
2. Location
Regd. Office:
Controlling Office:
3. Constitution
4. Date of incorporation & date of commencement of business:
5. Share holding pattern:
6. Major change in Management in last three years
7. Names of Banker /s

B. Financial Position of Bidder for the last three financial years

	2018-19	2019-20	2020-21
Net Worth			
Turnover			
Net Profit (Profit After Tax)			

N.B. Enclose copies of Audited Balance Sheets along with enclosures

C. Proposed Service details in brief

- Description of service :
- Details of similar service provided:

Details of Experience in the field of Comprehensive Anti-Money & Trade Based Money Laundering Solution

PSU Organization/BFSI		
Name of Organization	Period	
	From	To

N.B. Enclose copies of Purchase Orders and references.

Place: **AUTHORISED SIGNATORY**

Date: **Name:**

Designation:

(Letter to be submitted by the Manufacturer on firm's official letter head)

Manufacturer Authorisation Form (MAF)

To,

Deputy General Manager (DIT, BPR & BTD)

UCO Bank, Head Office, DIT

5th Floor, 3&4, DD Block, Sector-I

Salt Lake, Kolkata -700064

Dear Sir,

Ref: RFP for Procurement of Comprehensive Anti-Money & Trade Based Money Laundering Solution for Hongkong & Singapore Centers

We (Name of the Manufacturer) who are established and reputable manufacturers of having factories at,, and do hereby authorize M/s (Name and address of Bidder) who is the bidder submitting its bid pursuant to the Request for Proposal issued by UCO Bank on behalf, to submit a Bid and negotiate and conclude a contract with you for supply of equipment's manufactured by us against the Request for Proposal received from your bank by the Bidder and we have duly authorized the Bidder for this purpose.

We hereby extend our guarantee/ warranty and AMC as per terms and conditions of the RFP Noand the contract for the equipment and services offered for supply against this RFP No..... By the above-mentioned Bidder, and hereby undertake to perform the obligations as set out in the RFP No..... In respect of such equipment and services. We undertake to provide back-to-back support for spare and skill to the bidder for subsequent transmission of the same to the Bank. We also undertake to provide support services during warranty as well as ATS period if the above bidder authorized by us fails to perform in terms of the RFP.

Yours Faithfully

Authorised Signatory

(Name:

Phone No. Fax E_mail)

(This letter should be on the letterhead of the Manufacturer duly signed by an authorized signatory)

FORMAT OF BID SECURING DECLARATION

(The Bidder shall fill in this Format in accordance with the instructions as indicated)

RFP for Procurement of Comprehensive Anti-Money & Trade Based Money Laundering Solution for Hongkong & Singapore Centres

To,

**Deputy General Manager (DIT, BPR & BTB)
UCO Bank, Head Office,
Department of Information Technology
5th Floor, 3&4, DD Block, Sector-I
Salt Lake, Kolkata -700064**

Sir,

I/We,..... (Authorised Signatory of the Bidder) submitted by the undersigned on behalf of the Bidder (M/s _____) either Sole or in Joint Venture, do hereby declare and accept the following:

(A) I/We understand according to your conditions; the bid must be supported by a Bid-Securing Declaration.

(B) I/We accept that M/s _____ will automatically be suspended from being eligible for bidding or submitting proposals in any contract with the Bank for the period of time starting on **Bid Submission Date** if I/We are in breach of our obligation(s) under the Bid conditions, enumerated as under:

- 1)** if I/We withdraw the Bid during the period of validity i.e. **180 Days** from the Bid due date; or
- 2)** if I/We is/are awarded the Contract and fail to sign the Contract; or
- 3)** if I/We fail to submit an unconditional and irrevocable performance security before the deadline defined in the request for bid documents; or
- 4)** if I/We make any statement or enclose any form which turns out to be false, incorrect and/or misleading at any time prior to signing of contract and/or conceals or suppresses material information; or

- 5) if I/We fail to submit the requisite documents as per the tender specification;
or
- 6) if I/We violate any of the provisions of the terms and conditions of this tender specification.
- (C) We understand this Bid Securing Declaration shall expire if we are not the successful Bidder, upon the earlier of (i) our receipt of your notification to us of the name of the successful Bidder or (ii)days after the expiration of our Bid.

Name of the Bidder*	
Name of the person duly authorized to sign the Bid on behalf of the Bidder**	
Designation of the person signing the Bid	
Signature of the person named above	
Official Seal	

Dated onthis day of(mention the month),..... (mention the year)
P.S.

(1) * In the case the Bid is submitted by an Entity (viz., Partnership Firm, LLP, Company, Joint Venture), specify the name of the Entity as the Bidder.

(2) ** The Person signing the Bid shall have the Power of Attorney given by the Bidder to execute the documents on behalf of the Bidder.

(3) In case of a Joint Venture, the Bid-Securing Declaration must be in the name of all Members/Partners to the Joint Venture that submits the Bid.

Format of Performance Bank Guarantee (PBG)

1. In consideration of UCO BANK, a body corporate constituted under the Banking Companies (Acquisition & Transfer of Undertaking) Act, 1970, having its head office at 10, BIPLABI TRILOKYA MAHARAJ SARANI (BRABOURNE ROAD), Kolkata - 700001 (hereinafter called –UCO BANKII) having agreed to exempt M/s _____ (Name of the vendor Company), a Company incorporated under the Companies Act, 1956 having its registered office at _____ (Address of the vendor company) (hereinafter called – the said VENDOR) from the demand, under the terms and conditions of UCO BANK's purchase order / Letter of Intent bearing no.dated..... issued to the Vendor and an Agreement to be made between UCO BANK and the Vendor for a period of In pursuance of Request For Proposal no..... dated..... , as modified, (hereinafter called –the said Agreement), of security deposit for the due fulfilment by the said VENDOR of the Terms and conditions contained in the said Agreement, on production of a Bank Guarantee for Rs..... (Rupees.....only).We,..... [indicate the name of the bank ISSUING THE BANK GUARANTEE] (hereinafter referred to as – the Bank) at the request of [VENDOR] do hereby undertake to pay to UCO BANK an amount not exceeding Rs.....against any loss or damage caused to or suffered or would be caused to or suffered by UCO BANK by reason of any breach by the said VENDOR of any of the terms or conditions contained in the said Agreement.
2. We [indicate the name of the bank ISSUING THE BANK GUARANTEE] do hereby undertake to pay the amounts due and payable under this guarantee without any demur, merely on a demand from UCO BANK stating that the amount claimed is due by way of loss or damage caused to or breach by the said VENDOR of any of the terms or conditions contained in the said Agreement or by reason of the VENDOR'S failure to perform the said Agreement. Any such demand made on the Bank shall be conclusive as regards the amount due and payable by the Bank under this guarantee. However, our liability under this guarantee shall be restricted to an amount not exceeding Rs.....
3. We undertake to pay to UCO BANK any money so demanded notwithstanding any dispute or disputes raised by the VENDOR in any suit or proceeding pending before any court or Tribunal relating thereto our liability under this present being absolute and unequivocal. The payment made by us

under this bond shall be a valid discharge of our liability for payment there under and the VENDOR for payment there under and the VENDOR shall have no claim against us for making such payment.

4. We, [indicate the name of the bank ISSUING THE GUARANTEE] further agree that the guarantee herein contained shall remain in full force and effect during the period that would be taken for the performance of the said Agreement and that it shall continue to be enforceable till all the dues of BANK under or by virtue of the said Agreement have been fully paid and its claims satisfied or discharged or till UCO BANK certifies that the terms and conditions of the said Agreement have been fully and properly carried out by the said VENDOR and accordingly discharged this guarantee. Unless a demand or claim under this guarantee is made on us in writing on or before (Expiry of claim period), we shall be discharged from all liabilities under this guarantee thereafter.
5. We [indicate the name of bank ISSUING THE GUARANTEE] further agree with UCO BANK that UCO BANK shall have the fullest liberty without our consent and without affecting in any manner our obligations hereunder to vary any of the terms and conditions of the said Agreement or to extend time of performance by the said VENDOR from time or to postpone for any time, or from time to time any of the powers exercisable by UCO BANK against the said VENDOR and to forebear or enforce any of the terms and conditions relating to the said agreement and we shall not be relieved from our liability by reason of any variation, or extension being granted to the said VENDOR or for any forbearance, act or omission on the part of UCO BANK of any indulgence by UCO BANK to the said VENDOR or by any such matter or thing whatsoever which under the law relating to sureties would, but for this provision, have effect of so relieving us.
6. This guarantee will not be discharged due to the change in the constitution of the Bank or the VENDOR.
7. We, [indicate the name of Bank ISSUING THE GUARANTEE] lastly undertake not to revoke this guarantee during its currency except with the previous consent of UCO BANK in writing.

Notwithstanding anything contained herein:

- a. Our liability under this Bank Guarantee shall not exceed Rs..... (Rupees.....) only.
- b. This Bank Guarantee shall be valid upto and

c. 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(date of expiry of Guarantee including claim period).

8. Dated the day of for [indicate the name of Bank]

Yours faithfully,

For and on behalf of

_____ Bank

Authorised Official

Note:

1. *Selected vendor should ensure that the seal and CODE No. of the signatory is put by the bankers, before submission of the bank guarantee.*
2. *Vendor guarantee issued by banks located in India shall be on a Non-Judicial Stamp Paper of requisite value as applicable to the place of execution.*

UNDERTAKING FOR NON-BLACKLISTING / NON-DEBARMENT OF THE BIDDER
TO BE STAMPED AS A DECLARATION & DULY ATTESTED BY A NOTARY

Sub: RFP for Procurement of Comprehensive Anti-Money & Trade Based Money Laundering Solution for Hongkong & Singapore Centers

- 1) I/We, Proprietor/Partner(s)/Director(s) of M/s..... hereby confirm that I/We have read and understood the eligibility criteria and fulfil the same.
- 2) I/We further confirm that all the information furnished by me/us, as per the requirement of the Bank, have been included in our bid.
- 3) I/We further hereby undertake and agree to abide by all terms and conditions and guidelines stipulated by the Bank. We understand that any deviation may result in disqualification of our bid.
- 4) *I/We further hereby declare that I/We have not been black-listed or otherwise debarred by any Bank/Financial Institution/Central Government/ State Government/any Central or State Undertaking or Corporation/ Reserve Bank of India or any other Regulatory Authority or any other Statutory Authority as on date of the publication of this Tender/Procurement.

(OR)

I/We further hereby declare that the Proprietorship Concern/Partnership Firm/Company/..... (if any other entity) namely M/s was blacklisted/debarred by.....(Name of the Authority who blacklisted/debarred) from taking part in their Tender/Procurement for a period ofyears w.e.f.to..... The period is subsisting/over on.....and now I/We is/are entitled to take part in Tender/Procurement.

- 5) I/We declare that no proceedings/inquiries/investigations have commenced/pending against me/us by any Statutory Authority/Regulatory Agency/Investigating Agency which may result in liquidation of company/ firm/proprietorship concern and/or may act as deterrent on the continuity of business and/or may hamper in providing the said services, as envisaged in this document.
- 6) I/We further hereby declare that no legal action is pending against me/us for any cause in any legal jurisdiction.

- 7) I/We undertake that adequate number of resources, if required by the Bank, will be deployed for the project to complete the assignment within the stipulated time.

***STRIKE OUT WHICH IS INAPPLICABLE**

(Deviation to the above if any, the Bidder must provide details of such action(s))

Signature (1) (2)

(duly authorized to sign)

Name:.....

Capacity in which as executed:.....

Name & registered address of the Bidder:.....

Seal of the Bidder to be affixed

Undertaking to abide by all by-laws / rules / regulations

(TO BE EXECUTED ON NON-JUDICIAL STAMP PAPER OF REQUISITE VALUE)

To,

**The Deputy General Manager (DIT, BPR & BTB),
UCO Bank, Head Office – II,
Department of Information Technology,
5th Floor, 3 & 4 DD Block, Sector – 1
Salt Lake, Kolkata – 700064.**

Sub: Declaration-Cum-Undertaking regarding compliance with all statutory requirements

In consideration of UCO Bank, a body corporate, constituted under Banking Companies (Acquisition & Transfer of Undertakings) Act, 1970 as amended from time to time having its Head Office at 10, Biplabi Trailokya Maharaj Sarani, Kolkata-700001 (hereinafter referred to as "Bank" which expression shall include its successors and assigns), we, M/s....., having its Registered Office at....., do hereby, having examined the RFP including all Annexure, confirm and agree to comply with all Laws, Rules, Regulations, By-Laws, Guidelines, Notifications etc.

We hereby undertake and agree to abide by all the terms and conditions stipulated by the Bank in the RFP Ref. No: UCO/DIT/3837/2021-22 Date: 29.01.2022 including all annexure, addendum, corrigendum and amendments, if any. We certify that the services offered shall be in conformity with the terms & conditions and Scope of Work stipulated in the annexures of the said RFP.

We do also hereby irrevocably and unconditionally agree and undertake to save and keep the Bank, including its respective directors, officers, and employees and keep them harmless from and against any claim, demand, losses, liabilities or expenses of any nature and kind whatsoever and any damage caused from and against all suits and other actions that may be instituted taken or preferred against the Bank by whomsoever and all losses, damages, costs, charges and expenses arising out of non-compliance with or non-adherence to any statutory/regulatory requirements and/or any other law for the time being in force.

We also confirm that payment to the engaged employees shall be made in consonance with the Minimum Wages Act in vogue and their duty hours will also be as per applicable labour laws of country.

Dated this _____ day of _____, 2022 .

Place: For M/s. [Seal and Signature(s) of the Authorized Signatory (s)]

Undertaking Letter on the selected bidder's letterhead for Central Minimum Wages

Act & Labour Laws

To,
Deputy General Manager (DIT, BPR & BTB)
UCO Bank, Head Office
Department of Information Technology
5th Floor, 3&4, DD Block, Sector-I
Salt Lake, Kolkata -700064

Sir,

Sub: RFP for Procurement of Comprehensive Anti-Money & Trade Based Money Laundering Solution for Hongkong & Singapore Centres

Further to our proposal dated in response to the Request for Proposal (Bank's tender No..... herein referred to as RFP) issued by Bank, we hereby covenant, warranty and confirm as follows:

In this regard we confirm that the employees engaged by our Company to carryout the services in your bank for the above said contract are paid minimum wages / salaries as stipulated in the Government (Central / State) Minimum Wages / Salaries act in force. All the employees/operator deployed by the selected bidder for the digitization activity must comply with government's rules and regulations like minimum wages act, Provident Fund and ESIC facility standard. We also indemnify the Bank against any action / losses / damages that arise due to action initiated by Commissioner of Labour for non-compliance to the above criteria.

We further authorize the Bank to deduct from the amount payable to the Company under the contract or any other contract of the Company with the Bank if a penalty is imposed by Labour Commissioner towards non-compliance to the "Minimum Wages / Salary stipulated by government in the Act by your company.

(Proof of compliance and labour license needs to be submitted along with the quotation)

Yours faithfully,

Authorised Signatory

Designation

Bidder's corporate name

Place:

Date:

Undertaking Letter on the vendor's letterhead for GST Law

To,
Deputy General Manager (DIT, BPR & BTD)
UCO Bank, Head Office,
Department of Information Technology
5th Floor, 3&4, DD Block, Sector-I
Salt Lake, Kolkata -700064

Dear Sir,

Sub: RFP for Procurement of Comprehensive Anti-Money & Trade Based Money Laundering Solution for Hongkong & Singapore Centres

Further to our proposal dated, in response to the Request for Proposal (Bank's tender No. hereinafter referred to as "RFP") issued by Bank, we hereby covenant, warrant and confirm as follows:

We, the bidder M/s, hereby agree to comply with all applicable GST Laws including GST Acts, Rules, Regulations, Procedures, Circulars & Instructions thereunder applicable in India from time to time and to ensure that such compliance is done.

Yours faithfully,

For.....

Designation:

(Signature and seal of authorized person)

Bidder's corporate name:

Place:

Date:

Date:

Undertaking for Price Validity & Acceptance of all terms & conditions of RFP

To
Deputy General Manager (DIT, BPR & BTD)
UCO Bank, Head Office,
Department of Information Technology
5th Floor, 3&4, DD Block, Sector-I
Salt Lake, Kolkata -700064

Dear Sir,

Sub: RFP for Procurement of Comprehensive Anti-Money & Trade Based Money Laundering Solution for Hongkong & Singapore Centres

We understand that Bank is not bound to accept the lowest or any bid received and Bank may reject all or any bid. We shall keep the price valid for the entire contract period from the date of issuance of the first Work order.

If our bid is accepted, we are responsible for the due performance as per the scope of work and terms & conditions as per mentioned in RFP.

It is certified that the information furnished here in and as per the document submitted is true and accurate and nothing has been concealed or tampered with.

We have gone through all the conditions of bid and are liable to any punitive action for furnishing false information / documents.

Yours faithfully,

For.....

(Signature and seal of authorized person)

Place:

Date:

Undertaking for No Deviation

To
Deputy General Manager (DIT, BPR & BTD)
UCO Bank, Head Office,
Department of Information Technology
5th Floor, 3&4, DD Block, Sector-I
Salt Lake, Kolkata -700064

Dear Sir,

Sub: RFP for Procurement of Comprehensive Anti-Money & Trade Based Money Laundering Solution for Hongkong & Singapore Centres

Further to our proposal dated, in response to the Request for Proposal (Bank's tender No. hereinafter referred to as "**RFP**") issued by Bank, we hereby covenant, warrant and confirm as follows:

We hereby agree to comply with all the terms and conditions / stipulations as contained in the RFP and the related addendums and other documents including the changes made to the original tender documents if any, issued by the Bank. The Bank is not bound by any other extraneous matters or deviations, even if mentioned by us elsewhere either in our proposal or any subsequent deviations sought by us, whether orally or in writing, and the Bank's decision not to accept any such extraneous conditions and deviations will be final and binding on us.

We undertake to execute Deed of Indemnity, Non-disclosure Agreement & provide Performance Bank Guarantee as per the annexure enclosed in the RFP, in case of emergence as a successful bidder.

Yours faithfully,

For.....

Designation:

(Signature and seal of authorized person)

Bidder's corporate name:

Place: Date:

Annexure – XII

Certificate from Chartered Accountant (signed & stamped) showing company's financial position in last 3 years (annual turnover, profit / loss, net-worth etc.)

	2018-19	2019-20	2020-21
Turnover			
Profit / Loss			
Net worth			

Format of Pre-Bid Queries to be submitted by the Bidder(s)

To be e-mailed in .doc format

Name of the Bidder:

Name of the Contact Person of the Bidder:

Contact Number of the Contact Person:

Email id of the Contact Person:

RFP Page No.	RFP Clause Name/No.	Original RFP Clause	Query sought/ Suggestions of the Bidder

PRE CONTRACT INTEGRITY PACT

(To be stamped as per the Stamp Law of the Respective State)

1. Whereas UCO Bank having its registered office at UCO BANK, a body corporate constituted under The Banking companies (Acquisition & Transfer Act of 1970), as amended by The Banking Laws (Amendment) Act, 1985, having its Head Office at 10, Biplabi Trailokya Maharaj Sarani, Kolkata-700001 acting through its Department of IT, represented by Authorised Signatory hereinafter referred to as the Buyer and the first party, proposes to Procurement of Comprehensive Anti-Money & Trade Based Money Laundering Solution for Hongkong & Singapore Centres hereinafter referred to as Stores and / or Services.

And **M/s** _____ **having its registered office at** _____ **represented by** _____

Authorised signatory, (which term, unless expressly indicated by the contract, shall be deemed to include its successors and its assignee), hereinafter referred to as the bidder/seller and the second party, is willing to offer/has offered the Stores and / or Services.

2. Whereas the Bidder/Seller is a private company/public company/ /partnership/registered export agency, constituted in accordance with the relevant law in the matter and the BUYER is a Public Sector Undertaking and registered under Companies Act 1956. Buyer and Bidder/Seller shall hereinafter be individually referred to as –Party or collectively as the –parties, as the context may require.

3. Preamble

Buyer has called for tenders under laid down organizational procedures intending to enter into contract /s for Procurement of Comprehensive Anti-Money & Trade Based Money Laundering Solution for Hongkong & Singapore Centres and the Bidder /Seller is one amongst several bidders /Proprietary Vendor /Customer Nominated Source/Licenser who has indicated a desire to bid/supply in such tendering process. The Buyer values and takes primary responsibility for values full compliance with all relevant laws of the land, rules, regulations, economic use of resources and of fairness / transparency in its relations with its Bidder (s) and / or Seller(s).

In order to achieve these goals, the Buyer will appoint Independent External Monitor(s) (IEMs) in consultation with Central Vigilance Commission, who will monitor the tender process and the execution of the contract for compliance with the principles mentioned above.

4. Commitments of the Buyer

4.1 The Buyer commits itself to take all measures necessary to prevent corruption and fraudulent practices and to observe the following principles:-

- (i)** No employee of the Buyer, personally or through family members, will in connection with the tender, or the execution of a contract demand, take a promise for or accept, for self or third person, any material or immaterial benefit which the person is not legally entitled to.
- (ii)** The Buyer will during the tender process treat all Bidder(s) /Seller(s) with equity and reason. The Buyer will in particular, before and during the tender process, provide to all Bidder (s) /Seller(s) the same information and will not provide to any Bidders(s) /Seller(s) confidential /additional information through which the Bidder(s) / Seller(s) could obtain an advantage in relation to the process or the contract execution.
- (iii)** The Buyer will exclude from the process all known prejudiced persons.

4.2 If the Buyer obtains information on the conduct of any of its employees which is a criminal offence under the Indian Legislation Prevention of Corruption Act 1988 as amended from time to time or if there be a substantive suspicion in this regard, the Buyer will inform to its Chief Vigilance Officer and in addition can initiate disciplinary action.

5 Commitments of the Bidder(s) /Seller(s):

5.1 The Bidder(s)/ Seller(s) commit itself to take necessary measures to prevent corruption. He commits himself to observe the following principles during his participation in the tender process and during the contract execution.

- (i)** The Bidder(s) /Seller(s) will not directly or through any other persons or firm, offer promise or give to any of the Buyer's employees involved in the tender process or the execution of the contract or to any third person any material or other benefit which he / she is not legally entitled to, in order to obtain in exchange any advantage during the tendering or qualification process or during the execution of the contract.
- (ii)** The Bidder(s) /Seller(s) will not enter with other Bidders / Sellers into any undisclosed agreement or understanding, whether formal or informal. This applies in particular to prices, specifications, certifications, subsidiary contracts, submission or non-submission of bids or any other actions to restrict competitiveness or to introduce cartelization in the bidding process.
- (iii)** The bidder(s) /Seller(s) will not commit any offence under the Indian legislation, Prevention of Corruption Act, 1988 as amended from time to time. Further, the Bidder(s) /Seller(s) will not use improperly, for purposes of

competition or personal gain, or pass on to others, any information or document provided by the Buyer as part of the business relationship, regarding plans, technical proposals and business details, including information constrained or transmitted electronically.

- (iv) The Bidder(s) /Seller(s) shall ensure compliance of the provisions of this Integrity Pact by its sub-supplier(s) / sub-contractor(s), if any, Further, the Bidder /Seller shall be held responsible for any violation/breach of the provisions by its sub-supplier(s) /Sub-contractor(s).
- (v) Foreign bidders to disclose the name and address of agents and representatives in India and Indian Bidders to disclose their foreign principals or associates.
- (vi) Bidders not to pass any information provided by the Principal as part of business relationship to others and not to commit any offence under PC/IPC Act.
- (vii) Bidders to disclose the payments to be made by them to agents/brokers or any other intermediary.

5.2 The Bidder(s) /Seller(s) shall ensure compliance of the provisions of this Integrity Pact by its sub-supplier(s) / sub-contractor(s), if any, Further, the Bidder /Seller shall be held responsible for any violation /breach of the provisions by its sub-supplier(s) /sub-contractor(s).

5.3 The Bidder(s) /Seller(s) will not instigate third persons to commit offences outlined above or be an accessory to such offences.

5.4 Agents / Agency Commission

The Bidder /Seller confirms and declares to the Buyer that the bidder/Seller is the original manufacturer/authorized distributor / stockiest of original manufacturer or Govt. Sponsored /Designated Export Agencies (applicable in case of countries where domestic laws do not permit direct export by OEMS of the stores and /or Services referred to in this tender / Offer / contract / Purchase Order and has not engaged any individual or firm, whether Indian or Foreign whatsoever, to intercede, facilitate or in any way to recommend to Buyer or any of its functionaries, whether officially or unofficially, to the award of the tender / contract / Purchase order to the Seller/Bidder; nor has any amount been paid, promised or intended to be paid to any such individual or firm in respect of any such intercession, facilitation or recommendation. The Seller / Bidder agrees that if it is established at any time to the satisfaction of the Buyer that the present declaration is in anyway incorrect or if at a later stage it is discovered by the Buyer

that the Seller incorrect or if at a later stage it is discovered by the Buyer that the Seller/Bidder has engaged any such individual /firm, and paid or intended to pay any amount, gift, reward, fees, commission or consideration to such person, party, firm or institution, whether before or after the signing of this contract /Purchase order, the Seller /Bidder will be liable to refund that amount to the Buyer. The Seller will also be debarred from participating in any RFP / Tender for new projects / program with Buyer for a minimum period of five years. The Buyer will also have a right to consider cancellation of the Contract / Purchase order either wholly or in part, without any entitlement of compensation to the Seller /Bidder who shall in such event be liable to refund agents / agency commission payments to the buyer made by the Seller /Bidder along with interest at the rate of 2% per annum above LIBOR (London Inter Bank Offer Rate) (for foreign vendors) and Base Rate of SBI (State Bank of India) plus 2% (for Indian vendors). The Buyer will also have the right to recover any such amount from any contracts / Purchase order concluded earlier or later with Buyer.

6. Previous Transgression

6.1 The Bidder /Seller declares that no previous transgressions have occurred in the last three years from the date of signing of this Integrity Pact with any other company in any country conforming to the anti-corruption approach or with any other Public Sector Enterprise in India that could justify Bidder's /Seller's exclusion from the tender process.

6.2 If the Bidder /Seller makes incorrect statement on this subject, Bidder /Seller can be disqualified from the tender process or the contract, if already awarded, can be terminated for such reason without any liability whatsoever on the Buyer.

7. Company Code of Conduct

Bidders /Sellers are also advised to have a company code of conduct (clearly rejecting the use of bribes and other unethical behaviour) and a compliance program for the implementation of the code of conduct throughout the company.

8. Sanctions for Violation

8.1 If the Bidder(s) /Seller(s), before award or during execution has committed a transgression through a violation of Clause 5, above or in any other form such as to put his reliability or credibility in question, the Buyer is entitled to disqualify the Bidder(s) /Seller (s) from the tender process or take action as per the procedure mentioned herein below:

- (i) To disqualify the Bidder /Seller with the tender process and exclusion from future contracts.
- (ii) To debar the Bidder /Seller from entering into any bid from Buyer for a period of two years.
- (iii) To immediately cancel the contract, if already signed /awarded without any liability on the Buyer to compensate the Bidder /Seller for damages, if any. Subject to Clause 5, any lawful payment due to the Bidder/Seller for supplies effected till date of termination would be made in normal course.
- (iv) To encash Advance Bank Guarantees / Performance Bonds / Warranty Bonds, etc. which may have been furnished by the Bidder /Seller to the extent of the undelivered Stores and / or Services.

8.2 If the Buyer obtains Knowledge of conduct of Bidder /Seller or of an employee or representative or an associate of Bidder /Seller which constitutes corruption, or if the Buyer has substantive suspicion in this regard, the Buyer will inform to its Chief Vigilance Officer.

9. Compensation for Damages

9.1 If the Buyer has disqualified the Bidder(s) /Seller(s) from the tender process prior to the award according to Clause 8, the Buyer is entitled to demand and recover the damages equivalent to Earnest Money Deposit in case of open tendering.

9.2 If the Buyer has terminated the contract according to Clause 8, or if the Buyer is entitled to terminate the contract according to Clause 8, the Buyer shall be entitled to encash the advance Bank guarantee and performance bond / warranty bond, if furnished by the Bidder / Seller, in order to recover the payments, already made by the Buyer for undelivered Stores and / or Services.

10. Independent External Monitor(s)

10.1 The Buyer has appointed independent External Monitors for this Integrity Pact in consultation with the Central Vigilance Commission (Names and Addresses of the Monitors are given in RFP).

10.2 As soon as the integrity Pact is signed, the Buyer shall provide a copy thereof, along with a brief background of the case to the independent External Monitors.

10.3 The Bidder(s) / Seller(s) if they deem it necessary, May furnish any information as relevant to their bid to the Independent External Monitors.

10.4 If any complaint with regard to violation of the IP is received by the buyer in a procurement case, the buyer shall refer the complaint to the Independent External Monitors for their comments / enquiry.

- 10.5** If the Independent External Monitors need to peruse the records of the buyer in connection with the complaint sent to them by the buyer, the buyer shall make arrangement for such perusal of records by the independent External Monitors.
- 10.6** The report of enquiry, if any, made by the Independent External Monitors shall be submitted to MD & CEO, UCO Bank, Head Office at 10, Biplabi Trailokya Maharaj Sarani, Kolkata-700001 within 2 weeks, for a final and appropriate decision in the matter keeping in view the provision of this Integrity Pact.
- 10.7** The word "Monitor" would include both singular and plural.

11. Law and Place of Jurisdiction

This Integrity Pact is subject to Indian Laws, and exclusive Jurisdiction of Courts at Kolkata, India.

12. Other Legal Actions

The actions stipulated in this Integrity Pact are without prejudice to any other legal action that may follow in accordance with the provision of the extant law in force relating to any civil or criminal proceedings.

13. Integrity Pact Duration.

- 13.1** This Integrity Pact begins when both parties have legally signed it. It expires of order / finalization of contract.
- 13.2** If any claim is made/ lodged during this time, the same shall be binding and continue to be valid despite the lapse of this Integrity Pact as specified above, unless it is discharged / determined by MD & CEO, UCO Bank .
- 13.3** Should one or several provisions of this Integrity Pact turn out to be invalid, the reminder of this Integrity Pact remains valid. In this case, the parties will strive to come to an agreement to their original intentions.

14 Other Provisions

- 14.1 Changes and supplements need to be made in writing. Side agreements have not been made.
- 14.2 The Bidders (s)/ Sellers (s) signing this IP shall not initiate any Legal action or approach any court of law during the examination of any allegations/complaint by IEM and until the IEM delivers its report.
- 14.3 In view of nature of this Integrity Pact, this Integrity Pact shall not be terminated by any party and will subsist throughout its stated period.
- 14.4 Nothing contained in this Integrity Pact shall be deemed to assure the bidder / Seller of any success or otherwise in the tendering process.

15. This Integrity Pact is signed with UCO Bank exclusively and hence shall not be treated as precedence for signing of IP with MoD or any other Organization.

16. In the event of any contradiction between the Integrity Pact and its Annexure, the Clause in the Integrity Pact will prevail.

17. The Parties here by sign this Integrity Pact.

BUYER

Signature:

Authorized Signatory

Department of IT

Place:

Date:

Witness:

(Name & Address)

BIDDER /SELLER

Signature:

Authorized Signatory (*)

Witness:

(Name & Address)

NON-DISCLOSURE AGREEMENT

(Confirmation of format should be enclosed with technical bid. Agreement to be executed on non-judicial stamp paper of requisite value by the selected bidder only,)

This Non-Disclosure Agreement is entered into on this day of..... 2022

BETWEEN

UCO Bank, a body corporate, constituted under the Banking Companies (Acquisition & Transfer of Undertakings) Act, 1970 as amended from time to time having its Head Office at No.10, BTM Sarani, Kolkata-700001 hereinafter referred to as "**the Bank**" (which expression shall unless excluded by or repugnant to the subject or context be deemed to mean and include its assigns, administrators and successors) **of the FIRST PART/ DISCLOSING PARTY**

AND

.....(Which expression shall unless excluded by or repugnant to the subject or context be deemed to mean and include its assigns, administrator and successors) of the **SECOND PART/ RECEIVING PARTY**
(Each of Bank and the vendor is sometimes referred to herein as a "**Party**" and together as the "**Parties**").

WHEREAS the Vendor/Receiving Party is inter alia engaged for Procurement of Comprehensive Anti-Money & Trade Based Money Laundering Solution for Hongkong & Singapore Centres as per the terms and conditions specified in the RFP Ref. No: UCO/DIT/3837/2021-22 Date: 29.01.2022. The Vendor/Receiving Party would be the single point of contact for this project.

WHEREAS Bank/Disclosing Party is inter alia engaged in the business of Banking; and

WHEREAS the Parties presently desire to discuss and/or consult with each other's business for the purposes of entering into Agreements for Procurement of Comprehensive Anti-Money & Trade Based Money Laundering Solution for Hongkong & Singapore Centres.

WHEREAS the Parties recognize that each other's business involves specialized and proprietary knowledge, information, methods, processes, techniques and skills peculiar to their security and growth and that any disclosure of such methods, processes, skills, financial data, or other confidential and proprietary information

would substantially injure a Party's business, impair a Party's investments and goodwill, and jeopardize a Party's relationship with a Party's clients and customers; and

WHEREAS in the course of consultation with respect to the potential business venture, the Parties anticipate disclosing to each other certain information of a novel, proprietary, or confidential nature, and desire that such information be subject to all of the terms and conditions set forth herein below;

NOW THEREFORE the Parties hereto, in consideration of the promises and other good and valuable consideration, agree such information shall be treated as follows:

1. Confidential Information. "**Confidential Information**" shall mean and include any information which relates to the financial and/or business operations of each Party, including but not limited to, specifications, drawings, sketches, models, samples, reports, forecasts, current or historical data, computer programs or documentation and all other technical, financial or business data, information related to each Party's customers, products, processes, financial condition, employees, intellectual property, manufacturing techniques, experimental work, trade secrets.

2. Use of Confidential Information. The Vendor/Receiving Party agrees not to use the Bank/Disclosing Party's confidential Information for any purpose other than for the specific consultation regarding the potential business venture. Any other use of such Confidential Information by the Receiving Party shall be made only upon the prior written consent from an authorized representative of the Disclosing Party which wishes to disclose such information or pursuant to subsequent agreement between the Parties hereto.

3. Restrictions. Subject to the provisions of paragraph 4 below, the Party receiving Confidential Information (the "**Receiving Party**") shall, for contract period of Three (3) years from the date of the last disclosure of Confidential Information made under this Agreement (except for personal customer data which shall remain confidential forever), use the same care and discretion to limit disclosure of such Confidential Information as it uses with similar confidential information of its own and shall not disclose, lecture upon, publish, copy, modify, divulge either directly or indirectly, use (except as permitted above under clause (2) or otherwise transfer the Confidential Information to any other person or entity, including taking reasonable degree of care and steps to:

(a) Restrict disclosure of Confidential Information solely to its concerned employees, agents, advisors, consultants, contractors and /or subcontractors with a need to know and not disclose such proprietary information to any other parties; and

(b) Advise all receiving Party's employees with access to the Confidential Information of the obligation to protect Confidential Information provided hereunder and obtain from agents, advisors, contractors and/or consultants an agreement to be so bound.

(c) Use the Confidential Information provided hereunder only for purposes directly related to the potential business venture.

4. Exclusions. The obligations imposed upon Receiving Party herein shall not apply to information, technical data or know how, whether or not designated as confidential, that:

(a) is already known to the Receiving Party at the time of the disclosure without an obligation of confidentiality;

(b) is or becomes publicly known through no unauthorized act of the Receiving Party;

(c) is rightfully received from a third Party without restriction and without breach of this Agreement;

(d) is independently developed by the Receiving Party without use of the other Party's Confidential Information and is so documented;

(e) is disclosed without similar restrictions to a third party by the Party owning the Confidential Information;

(f) is approved for release by written authorization of the Disclosing Party; or

(g) is required to be disclosed pursuant to any applicable laws or regulations or any order of a court or a governmental body; provided, however, that the Receiving Party shall first have given notice to the Disclosing Party and made a reasonable effort to obtain a protective order requiring that the Confidential Information and/or documents so disclosed be used only for the purposes for which the order was issued.

5. Return of Confidential Information. All Confidential Information and copies and extracts of it shall be promptly returned by the Receiving Party to the Disclosing Party at any time within thirty (30) days of receipt of a written request by the Disclosing Party for the return of such Confidential Information.

6. Ownership of Information. The Receiving Party agrees that all Confidential Information shall remain the exclusive property of the Disclosing Party and its affiliates, successors and assigns.

7. No License Granted. Nothing contained in this Agreement shall be construed as granting or conferring any rights by license or otherwise in any Confidential Information disclosed to the Receiving Party or to any information, discovery or improvement made, conceived, or acquired before or after the date of this Agreement. No disclosure of any Confidential Information hereunder shall be construed by the Receiving Party to be a public disclosure of such Confidential Information for any purpose whatsoever.

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8. Breach. In the event the Receiving Party discloses, disseminates or releases any Confidential Information received from the Disclosing Party, except as provided above, such disclosure, dissemination or release will be deemed a material breach of this Agreement and the Disclosing Party shall have the right to demand prompt return of all Confidential Information previously provided to the Receiving Party and in such case, the Receiving party shall be bound to return all information within 30 days from the date of such demand. The provisions of this paragraph are in addition to any other legal right or remedies, the Disclosing Party may have under the Law for the time being in force.

9. Arbitration and Equitable Relief.

(a) Arbitration. The Parties shall endeavor to settle any dispute/difference arising out of or relating to this Agreement through consultation and negotiation. In the event no settlement can be reached through such negotiation and consultation, the Parties agree that such disputes shall be referred to and finally resolved by arbitration under the provisions of the Arbitration and Conciliation Act, 1996 and the rules made thereunder from time to time. The arbitration shall be held at city of Head Office of member Bank. The language used in the arbitral proceedings shall be English. The arbitration proceeding shall be conducted by a panel of three arbitrators, each party shall appoint his own arbitrator and the two appointed arbitrators shall appoint the third arbitrator who shall act as presiding Arbitrator.

(b) Equitable Remedies. The Parties agree that in event of breach of any of the covenants contained in this Agreement due to negligence/fault/lack of the Receiving Party, the Disclosing party shall have, in addition to any other remedy, the right:

- i) To obtain an injunction from a court of competent jurisdiction restraining such breach or threatened breach; and

- ii) To specific performance of any such provisions of this Agreement. The Parties further agree that no bond or other shall be required in obtaining such equitable relief and the Parties hereby consent to the issuance of such injunction and to the ordering of specific performance.

(c) Legal Expenses: If any action and proceeding is brought for the enforcement of this Agreement, or because of an alleged or actual dispute, breach, default, or misrepresentation in connection with any of the provisions of this Agreement, each Party will bear its own expenses, including the attorney's fees and other costs incurred in such action.

(d) Indemnification: The Receiving Party shall indemnify the Bank and hold the Bank harmless against any loss caused to it as a result of the non-performance or improper performance of this Agreement by the Receiving Party, or its servants or agents to perform any aspect of its obligations forming part of the subject matter of this Agreement.

10. Term. This Agreement may be terminated by either Party giving sixty (60) days' prior written notice to the other Party; provided, however, the obligations to protect the Confidential Information in accordance with this Agreement shall survive for a period of three (3) years from the date of the last disclosure of Confidential Information made under this Agreement (except for personal customer data which shall remain confidential forever).

11. No Formal Business Obligations. This Agreement shall not constitute create, give effect to or otherwise imply a joint venture, pooling arrangement, partnership, or formal business organization of any kind, nor shall it constitute, create, give effect to, or otherwise imply an obligation or commitment on the part of either Party to submit a proposal or to perform a contract with the other Party or to refrain from entering into an agreement or negotiation with any other Party. Nothing herein shall be construed as providing for the sharing of profits or loss arising out of the efforts of either or both Parties. Neither Party will be liable for any of the costs associated with the other's efforts in connection with this Agreement. If the Parties hereto decide to enter into any licensing arrangement regarding any Confidential Information or present or future patent claims disclosed hereunder, it shall only be done on the basis of a separate written agreement between them.

12. General Provisions.

(a) Governing Law. This Agreement shall be governed by and construed in accordance with the laws of India.

(b) Severability. If one or more of the provisions in this Agreement is deemed void by law, then the remaining provisions shall remain valid and continue in full force and effect.

(c) Successors and Assigns. This Agreement will be binding upon the successors and/or assigns of the Parties, provided however that neither Party shall assign its rights or duties under this Agreement without the prior written consent of the other Party.

(d) Headings. All headings used herein are intended for reference purposes only and shall not affect the interpretation or validity of this Agreement.

(e) Entire Agreement. This Agreement constitutes the entire agreement and understanding of the Parties with respect to the subject matter of this Agreement. Any amendments or modifications of this Agreement shall be in writing and executed by a duly authorized representative of the Parties.

(f) Jurisdiction of Court: All disputes under this Non-Disclosure Agreement are subject to the jurisdiction of Courts at City of Head office of Individual member Bank in India.

(g) Two original sets of Non-Disclosure Agreement are executed and retained by either parties, Bank and _____ (the selected vendor)

The Parties, by the signature of their authorized representatives appearing below, acknowledge that they have read and understood each and every term of this Agreement and agree to be bound by its terms and conditions.

For and on behalf of

.....

Signature: _____

Name: _____

Designation: _____

Date: _____

for and on behalf of

.....

(The selected bidder)

Signature: _____

Name: _____

Designation: _____

Date: _____

ELIGIBILITY COMPLIANCE

Sl. No.	Clause	Documents required	Compliance Yes/No
1	<p>Bidder should be a limited company (Public/Private) registered in India under the Companies Act, 1956/2013 for the last 3 years as on RFP issuance date.</p> <p>Companies registered as MSME Entrepreneur & still categorized as MSME as on RFP submission date.</p> <p>Bidder/Partner/Investor must adhere cross border sharing/FDI/FEMA and other regulatory guidelines of Govt. of India.</p> <p>The bidder should not be a subsidiary of a foreign company.</p>	<ol style="list-style-type: none"> 1. Certificate of Incorporation issued by Registrar of Companies along with 2. Copies of Memorandum of Association 3. Copies of Articles of Association 4. Shareholding pattern 5. PAN, TAN, GSTIN Certificate and any other tax related document if applicable is required to be submitted along with the eligibility bid. <p>Registration from DIC, KVIB, NSIC, KVIC, DIHH, UAA or any other body specified by Ministry of MSME.</p>	
2	<p>The bidder should be an OEM / OSD or their authorized representative in India. In case OEM / OSD participates in the tender process directly, authorized representative will not be permitted to participate in the same tender process.</p>	<p>In case of an authorized representative, a letter of authorization (MAF) / OSD Authorization Form from original manufacturer / solution developer must be furnished in original (for proposed software and hardware) duly signed & stamped (As per Annexure – III).</p>	
3	<p>The bidder should have a minimum annual turnover of Rs.15 Crores per year during the last three financial years i.e.</p>	<p>Copy of the audited balance sheet of the company for the consecutive last three financial years (2018-19, 2019-</p>	

	2018-19, 2019-20 & 2020-21. This must be the individual company turnover and not of any group of companies.	20 & 2020-21) should be submitted along with Chartered Accountant Certificate.	
4	The bidder submitting the offer should have positive net-worth for the last three financial years i.e. 2018-19, 2019-20 & 2020-21. This must be the individual company turnover and not of any group of companies.	Copy of the audited balance sheet of the company for the consecutive last three financial years (2018-19, 2019-20 & 2020-21) should be submitted along with Chartered Accountant Certificate.	
5	Bidder should have minimum one year of experience in Implementation of the proposed solution in any Public Sector Bank / Govt. Organization / Commercial Bank (Excluding RRB and Co-operative Banks) with more than 1500 offices/ branches in India.	Documentary evidence with relevant copies of Purchase Order/SLA along with Completion Certificates / Project Sign-Offs, payment invoices in the last three years including names of clients with Phone and Fax numbers, E-Mail IDs etc.	
OEM's Experience			
6	The proposed solution should be Implemented in any schedule commercial Bank with more than 1500 offices/ branches in India.	Documentary evidence with relevant copies of Purchase Order/SLA along with Completion Certificates / Project Sign-Offs, payment invoices in the last three years including names of clients with Phone and Fax numbers, E-Mail IDs etc.	
7	The proposed solution should be Implemented in overseas centres (Hongkong /Singapore) in any Indian schedule commercial Bank having more than 1500 offices/ branches in India.	Documentary evidence with relevant copies of Purchase Order/SLA along with Completion Certificates / Project Sign-Offs, payment invoices in the last three years including names of clients with Phone and Fax numbers, E-Mail IDs etc.	
8	The proposed Anti-Money Laundering (AML) software	Documentary evidence with relevant copies of Purchase	

	should be running for at least three years in any schedule commercial Bank with more than 1500 offices/ branches in India.	Order/SLA along with Completion Certificates / Project Sign-Offs, payment invoices in the last three years including names of clients with Phone and Fax numbers, E-Mail IDs etc.	
9	The bidder/OEM must have at least 25 skilled staff experienced in implementing AML Solution & should be able to deliver and support the proposed solution	Self-Declaration from the Solution OEM/bidder on the company's letter head signed by the authorised signatory.	
10	Bidder company should have valid ISO 9001/ISO 27001 certification.	Copy of the relevant document	
11	Bidder should not have been debarred / black-listed by any Bank or RBI or any other regulatory authority (HKMA, MAS etc.) or Financial Institutions in India as on date of RFP submission.	Undertaking to that effect should be submitted as per Annexure-VI.	
12	The service provider should ensure that there are no legal proceedings / inquiries / investigations have been commenced / pending / threatened against service provider by any statutory or regulatory or investigative agencies or any other for which performance under the contract will get adversely affected / may get affected.	Self-declaration to this effect on the company's letterhead should be submitted.	

FUNCTIONAL REQUIREMENT

All the solutions sought in functional/technical specification must be provided as end-to-end solution.

SL.NO.	REQUIREMENT	Compliance Yes/No
1.	The solution should support standard protocols governing data and services standards e.g. XML based messaging, Simple Object Access Protocol (SOAP), Web Services Development Language (WSDL), etc.	
2.	The system should support standard API for interface & integration with ancillary applications and support interface through middleware.	
3.	The System should provide priority processing of transactions, messages, offices etc. for online screening.	
4.	The solution should allow multiple connections/sessions per user.	
5.	Compliance with the FIU requirements, Statutory requirements and guidelines of regulators, on AML/CFT from time to time like but not limited to Financial Action Task Force (FATF), Egmont, World Regulators (RBI/MAS/HKMA etc.) recommendations and be flexible to include other lists.	
6.	Able to provide resolution of Regulatory Requirements on Immediate basis. The Vendor is responsible for generation of statutory reports in the format required by regulatory bodies.	
7.	The Proposed Solution should be able to store data as per Banks retention policy. During this period, Data recall should not require any additional coding or additional retrieval procedure. The archival and retrieval programs should facilitate easier analysis of old data. Provide adequate backup and recovery features.	
8.	The system should enable creation of different access groups with different access control. Users may belong to multiple groups. The proposed solution should allow users to be controlled (creation, activation, deactivation, deletion etc.) by a specific administrator. System must have a Login ID and password for each user for logging	

	and also supports Remote logging. The system must have a comprehensive log files with every user's activity (including action taken by the user). Facility to audit the whole process from logs reports at any future date.	
9.	The Solution should come with access capabilities to consolidate enterprise-wide data. The solution should come with Data Manipulation & Predictive Analytics Capability.	
10.	The Solution should come with ad-hoc query, data visualization, predictive analytics profiling, clustering & segmentation.	
11.	The Solution should come with the support for detection of new unknown patterns of suspicious activity.	
12.	The rules stored in should be easily accessible to repository.	
13.	The system should not have limitations for the rules set up by the users.	
14.	The application should have ability to identify transactions that may conceal beneficial owners and ability to monitor transactions involving internal accounts (for example: staff accounts, Corporate Concentration Accounts, GL A/Cs etc.) Name and details of Beneficial Owner should be provided of all accounts of Legal Entity along with Alerts generation	
15.	The application should have ability to flag transactions in excess of a certain amount.	
16.	The application should have ability to identify movement of cash into monetary instruments from one financial institution to another and should have ability to monitor/flag suspicious cross border transactions.	
17.	The solution should have ability to prioritize cases according to predefined rules in the case management system.	
18.	The solution should have ability to reassign closed alerts. The solution should select closed alerts on random basis for reassignment as per bank's discretion based on % of alerts. And The solution should have the provision for Bulk closure of Alerts. Also, System should be capable of providing list of closed alerts for Audit purpose by Regulators such as RBI, MAS, HKMA etc.	
19.	Scenario wise reassignment of alerts facility should be available	

20.	The solution should have ability to manually change priority or score of a suspicious transaction or event. The solution should have ability to assign / change status of a suspicious transaction or event and should have ability to assign/change assigned analyst to a suspicious transaction or event.	
21.	The application should track key milestone dates of a case (e.g. date open, date closed). The solution should have ability to age and view alerts at a summary level (e.g. # days open)	
22.	Behavioural Analysis of customer for profile/ account wise/ cash/ Area /past transactions /Occupation/ Constitution/ Annual Income/ Annual Turnover and KYC documents should be provided. The solution should have ability to distribute cases based on descriptive criteria (e.g. business unit, score, product, alert type).	
23.	The solution should have ability to configure alerts to automatically produce an email.	
24.	The solution should have ability to create a case/an alert either manually or automatically based on user defined criteria.	
25.	The solution should have ability <ul style="list-style-type: none"> • To monitor audit trail (including action taken) by user ID. • For administrator to manage individuals or groups. • To monitor resolution statistics by alert type, analyst name, date and other categories. • To protect user input so that no other analyst can alter information entered. • To associate detailed transaction data with a case. 	
26.	Provision for identifying the Multiple customers IDs. (UCIC/De-duplication Model). Capable of grouping of the data of multiple CIFs into Branch wise and Region wise for de-duplication and keeping the track record of de duplication process/progress.	
27.	The solution should have ability to archive cases offline and restore case as needed.	
28.	The solution should have ability to update a rule or profile integrated with the case management tool	

29.	Capability to handle the addition of new cases while existing cases are currently being worked on from the same day or prior periods.	
30.	The solution should come with <ul style="list-style-type: none"> • Queuing and searching system employed by the AML system, and describe the available methods of ordering and searching the queue. • The options which can be applied to the queue, to allow alerts to be reprioritized. The queue can be automatically refreshed when new alerts are added, and that can be refreshed manually as well. 	
31.	Confirm that a log of actions and notes must be stored throughout the workflow process to track actions and alterations to the solution should come with functionality that allows an administrator to create and manage workflow and capable of having hierarchy for escalation of alerts to different levels as per Bank's requirement. Also, having proper mechanism for distribution of alerts to different users/screening officer at AML cell and to different locations viz. Branches/regions/zones etc.	
32.	The solution should confirm that the system enforces agreed service levels in which alerts/cases should be closed or alternatively raised as SAR/STRs.	
33.	The solution should come with system that notifies both the investigator and the supervisor of a breach of service levels where an alert/case has not been investigated according to agreed service levels.	
34.	The solution should come with the functionality that automatically assigns priority to alerts and cases, including examples of the priority assigned, and how the weighting is calculated.	
35.	The solution should come with the capability to institution's AML Risk Model, which provides for risk weightings on specific attributes (e.g. Customer Type, Customer profile, Industry Type, Geography, Product and Delivery Channel.) The system should be able to sort out various alerts on the basis of various risk parameters and filtering criterion.	
36.	The solution should confirm that the AML system can generate automated confirmations where a manual	

	SAR/STR has been raised. And the proposed solution should be capable of showing all the details like previous STR raised, if any, total credit turnover/debit turnover, Risk profile details etc. in a single screen, of a particular customer/account whenever the user analyzing any alert/case. The solution should confirm that all such alerts/confirmations are saved as part of the audit process	
37.	The solution should confirm the capability of the AML system to be interoperable with email software provided by the Bank and with the institution's email address directory. The bulk mail facility with email templates should be made available.	
38.	The solution should have capability to allow business users to retrieve alerts and cases directly, or by filtering on a specific status.	
39.	The system should be capable of giving daily reconciliation of input of data from core banking/other solution vis a vis migrated data in AML system – channel wise, transaction head wise(cash, bank transfer, cross border, inter-office accounts, etc.) and in case of any mismatch, report should be provided on daily basis and should ensure that no account is missed in the migration process on daily basis.	
40.	Application should be able to integrate with core banking interface and other surround applications, if any, to control the customer on- boarding process, screening of online transaction monitoring.	
41.	The rule based scanning should be possible e.g. name should be scan against name, address against address, city against city etc. Auto-Update facility should be there in the new software for automatic updation of lists provided by various organizations and several Regulators (RBI/MAS/HKMA etc.)from time to time.	
42.	Customer screening at the time of on boarding (real time) as well as periodically screening in batch mode against the sanctioned lists. Provision to manage Negative lists/blacklists provided by the local/international regulatory authorities like RBI/ MAS/HKMA/IBA/FIU/UN sanctioned list/OFAC (Office of Foreign Acts Control)/Politically Exposed Person (PEP) list/Dow Jones World check, High Risk and other	

	<p>monitored jurisdiction as declared by FATF etc. The solution should allow to add new lists as and when requires in the future and also should be a user friendly but robust screening facility in terms of sufficiency, efficiency with quality output . All new customers as well as existing customers should be checked against the lists concerned. (*)</p> <p>The solution should have ability to electronically upload custom lists into the application with time stamp of time date of upload and user details.</p> <p>System should have facility to accept/provide data in standard formats from/for other systems, Import /export facilities like upload of Negative List, Positive list, filtering rules, etc.</p>	
43.	Similarly, the system should have capability to advise any deletion of list with time stamp and user details	
44.	The application should be able to perform a direct name match based on multiple fields to determine if a customer is on the banned entity or any other negative list.	
45.	The solution should interface/integrate with existing SFMS-SWIFT system for all types of financial/non-financial messages (MT/ISO 20022/ any other format) or any other types of messages introduced by SWIFT in future as per requirement and Trade finance/CBS/Treasury systems through IBM Websphere MQ (latest version) and web service.	
46.	<p>When the application is implemented it should perform an initial scan of all customers against the banned entity or negative list.</p> <p>The application should support "clean" lists (I.e. lists of good customers, that may appear bad when compared to negative list.</p> <p>The product should scan existing customers as names are added to the banned entity or other negative lists</p>	
47.	The application should compare additions to the banned entity or other negative lists with the bank's "clean" lists. For example, an individual is previously flagged by banned entity, but the bank determines that the client is okay and adds the client to a clean list. Subsequently, the actual client is added to the banned entity list and needs to be removed from the Bank's	

	<p>clean list.</p> <p>The application should have functionality that compares deletions to banned entity or negative lists to cases/transactions that were previously flagged as "suspicious" and are in process.</p>	
48.	<p>The solution should integrate multiple lists provided from different regulators like the lists provided by FATF, FIU, RBI, MAS, HKMA Office of Foreign Acts Control Specially designated nationals (OFAC SDN), Politically Exposed People (PEP) lists, National Criminal Intelligence Service (NCIS), Office of the Superintendent of Financial Institutions (OSFI), UN sanctioned list etc. Should be possible to add new lists as and when they are introduced in future. Online downloads / checks from such sites should be possible.</p>	
49.	<p>The proposed solution should match new/existing customers on the basis of name, Date of Birth, identification details , etc. in database against list provided by regulatory authorities (RBI/MAS/HKMA etc.), Bank watch list for the KYC parameters defined by the Bank and generate reports/alerts as per Bank requirement (online and offline).</p>	
50.	<p>Bank should be able to reduce false positives by creating a whitelist in which user can add customers who have matched with lists but are not deemed suspicious. Should also have the ability to make a "fuzzy logic" match with the list</p>	
51.	<p>The system should be capable of uploading any document(s) on the basis of which the decision to alter the white list has been taken. The system should have capability of giving details of maker and checker who had updated this white list along with time stamp.</p>	
52.	<p>The proposed solution should have a functionality to display list provided by regulatory authorities (RBI/MAS/HKMA etc.), Bank watch list which are used to scrub for Customer on-boarding or for batch processing. The display should include date of original upload, last updation date with time stamp.</p> <p>Users should be able to maintain internal Watch-lists to monitor their customers.</p>	
53.	<p>The application should provide audit trail for any modifications in the Banned Entity lists along with</p>	

	modification details through front end and through the Back end.	
54.	The application should be capable to screen minimum 3000 requests per minute.	
55.	The solution should be capable to support bulk name scanning from various input files .xls, csv, .txt etc. and provide output in various formats as required by the Bank.	
	KYC	
56.	Any mandatory fields for an account holder, not filled should be detected & reported. Proposed Solution should validate the CIF data and warn the user for missing data elements and support modification for missing data elements	
57.	Proposed Solution should have the flexibility to define account type & customer type specific (Saving account, Current account etc.) template constituting bank specified mandatory & optional fields, besides the regulatory mandatory fields.	
58.	The proposed solution should enable the users to define checklists on the Customer / Account Static Data and to generate reports on mandatory information required for different type of accounts. This mandatory information could either have been prescribed by the regulatory authority (RBI/MAS/HKMA etc.) of the country or required as a part of the Bank's internal policies.	
59.	The solution should be capable of identifying multiple CIFs of a single customer on parameters like Date of Birth, Driving License, Passport, Foreign Identification number, Unique Entity Number, Telephone/Mobile number etc. for the purpose of De-duplication of customer IDs.	
60.	The user should also be able to search Static Databases based on parameters such as Date of Birth, Driving License, Passport, Foreign Identification number, Unique Entity Number, Telephone/Mobile number etc. The result of the search should be a list of customer's personal / geographical relationships with other customers in the BANK. A search made on a customer's Transactional Data by the users, should result in a list of relationships of that	

	customer with all those who are transacting with him / her.	
61.	The proposed solution should enable the user to refine the search criteria from Exact Match to Similar Sounding, Partial Name Search, Initials Search, Percentage match and Sub String search. The user should be able to restrict the number of search results by entering a figure as the "Hit Limit".	
62.	System should be able to categorize all customers into risk categories as per Customer. Risk Categorization policy of the Bank issued from time to time. The solution should be capable of generating reports of Branch wise Customer IDs due for KYC updation as per periodicity prescribed by RBI, MAS, HKMA or any other regulatory authority applicable for the centres and capable of generating customized letter for each eligible customer.	
63.	Capable of providing different reports regarding the deficiencies in KYC details / documents which will be helpful in customer profile updation and also able to generate a letter in Bank's template format as per branch/region wise.	
64.	Proposed solution should support reassessment of customer risk, reclassification and recreation of customer behavioural profile. Risk assessment reports should be provided.	
65.	Proposed Solution should provide interface facility to update Risk classification from AML Systems to CBS as per Bank's specifications.	
66.	The transaction data should have the capability to do neural analysis i.e. predict possible money laundering behaviour in the future.	
67.	Should maintain a historical record of Customer, Account, Transaction, etc. Should be possible to retrieve information as on a previous date i.e., show the status of a customer as of a particular date.	
	CASE MANAGEMENT REQUIREMENTS	
68.	Solution should have the ability to receive alerts from multiple monitoring systems that have been designated as incidents that require investigation.	
69.	Solution should provide an Incident Triage Queue to allow the user to review incoming items prior to creating	

	or linking an incident to a case.	
70.	Solution should be able to customize activities and automation of workflow (different workflows may be developed for different types of cases)	
71.	<p>Solution should have the ability to assign activities in the workflow to a group of users.</p> <p>Solution should have the ability to create, edit and view a case based on user permissions</p> <p>Solution should have the ability to classify cases by type, category, and subcategory</p> <p>Solution should have the ability to attach documents and video files (any digital media may be stored)</p> <p>Solution should have the ability to set default fields and values on screens based on case type.</p> <p>Solution should have the ability to generate a batch file for regulatory reporting via E-Filing.</p> <p>Solution should have the ability to align cases by priority, high to low to the analyst role in the queue. New cases will populate the queue according to the priority.</p> <p>Solution should have the ability for additional review(s) of case disposition based on several factors (role, tier, delegated authority, etc.)</p> <p>Solution should provide a free form text comments box on working case screens.</p>	
72.	<p>The user should be able to manually modify a pending case and should be able to take specific actions on pending records.</p> <p>The user should be able to manually change a case, The user should be able to change / modify the 'due date, add comments, and designate future review time to re-review the case (ie. Automated reminder). If "pending" due to unavailability of analyst, then work should move to "general" queue for work.</p>	
73.	<p>The user should be able to take ownership of a task (with notification going back to original pending analyst).</p> <p>The user should be able to release pending records back into queue.</p> <p>The user should be able to comment without taking ownership, should be able to reassign record and</p>	

	should be able to add free text notes to cases. The user should be able to add or remove a document to a case.	
74.	The solution should be able to differentiate between cases which were created from alerts versus those which were created manually. The number / label / length / arrangement of such fields should be Configurable.	
75.	The user should has ability to apply a mass action to case - close, append etc.	
76.	The user should has ability to link cases under investigation. System should offer links to tools that perform automated case Processing .	
77.	Case management should have input/output functionality (API) in order to be able to link to other platforms.	
78.	The solution should have retrospective analysis, looking for other like events after updating additional information about a case or alert. Once a case is closed, the solution should re- score rules or models for future analysis.	
79.	<p>The solution has ability to elevate an alert into a case.</p> <p>The solution has ability to add several alerts to one case.</p> <p>The solution has ability for automatic assignment of cases to investigators, ability for supervisor to override and assign cases manually.</p> <p>The solution has flexibility of case management screens: ability to change field layout, field names, field types, contents of dropdown lists, without vendor involvement.</p> <p>The solution has ability to configure case management workflows in a flexible way by the user.</p> <p>The solution has ability to import large amount of information from txt, csv, or xls format - useful for first population of database, or the integration with other databases.</p>	
80.	The solution should have full audit trail / logging of all changes in the database (who, when, which table, which field, old value, new value).	
81.	Case management fields should be populated automatically with application details if case is generated from an alert.	

82.	Investigators should be able to sort and filter all case records by entering search criteria into any data field. Query results should be displayed as a list, possibility to open a record on the list to view all fields, then close and return to result list.	
83.	Solution should be able to export the results of a query, or the entire table to xlsx, pdf, docs, pdf, csv etc.	
84.	Solution should support batch update: Ability to update many records at the same time.	
	WORKFLOW REQUIREMENTS	
85.	Solution should be able to define the systematic actions to be taken, based upon an analyst's work action.	
86.	Screen flow and system process must represent the task workflow.	
87.	Admin users should have the ability to configure standard workflows to route case activities to appropriate teams.	
88.	Detection rules creation/modification and deletion could be subject of approval by more than one appointed person using workflow functionality.	
89.	Alerts,cases, Reports review and appropriate reaction should be managed by more than one appointed person using workflow functionality.	
90.	Workflow actions/steps should not be deleted or altered/ modified/recreated after submission by the user.	
91.	Solution should have the ability to control or change (edit/delete) certain workflow functions.	
92.	The AML systems should maintain comprehensive Audit Trails detailing every user activity (including action taken by the user). Audit Trail reports should be generated and may be viewed on- screen and/or printed. Solution should be able to manage and capture audit trails for workflow configuration	
93.	Solution should have <ul style="list-style-type: none"> ○ ability to create and modify workflow without assistance of software vendor ○ ability to add/update/delete scenarios ○ ability to make scenarios active or inactive. ○ ability to track changes to scenarios. 	

	<ul style="list-style-type: none"> o ability to add /update/delete users/groups/group privileges easily o ability to add add/update/delete reports easily reports easily. o ability to add/update data inputs. o ability to integrate alerts from other systems o ability to integrate 3rd party data 	
94.	Solution should not have any restriction on the license in terms of no. of users, no. of transactions, no. of channels, no. of Banking products, no. of branches and asset size of bank etc.	
	ALERTS MANAGEMENT	
95.	System should be capable of generation of alerts based upon the alert indicators suggested by the Bank/ stipulated by various Regulators (RBI/MAS/HKMA etc .) from time to time.	
96.	System should have an alert scoring mechanism with product having a relative score for each alert, the alert scores be modified through the applications of rules, provide for the categorization of alerts into groups for similar suspicious activity and provide the user to drill down into the details of the transactions on which the alert was generated.	
97.	All the IBA alerts, TBML alerts along with RBI, MAS, HKMA FIU-IND and any other regulatory and statutory requirements should be provided by the solution within the given timeline.	
	KYC & AML Requirements	
98.	System should capture all the Due Diligence (Customer Due Diligence & Enhanced Due Diligence) Information of the customer base of the institution. It should also capture Due Diligence data on Beneficiaries and connected parties.	
99.	Due diligence information should invariably contain parameters like source of funds, business activity / occupation of customer , expected level of activity in the account, declared income by the customer etc. In addition, where the kyc information is missing, there should be facility to enrich the data.	
100.	System should provide a list manager to manage various black-lists provided by regulatory	

	<p>authorities such as lists provided by RBI, MAS, HKMA, FRC ,OFAC -SDN , lists issued time to time by the law enforcement agencies ,PEP lists, UNSCR lists , High risk countries list etc. It should also be possible to add new lists as and when they are introduced in future. The lists should be updated as and when notifications are received from regulators. Users should also be able to create/maintain internal watch lists to monitor certain customers as and when required.</p>	
101.	<p>There should be support for list scanning of account/customer database against watch lists – incremental screening should be there if there are any updates to the watch list data or customer data. All new customers should be checked against blacklists, watch lists. And there should be provision to run search against existing customers as and when required.</p>	
102.	<p>System should also calculate the threshold limits basing on customer's profile. There should be automated periodical review mechanism to update the risk categorization and threshold limits for the customer data. In addition , it should be always possible to override the system calculated risk values ,having an option to manually set the risk.</p>	
103.	<p>Support for advanced search techniques to search data provided by enforcement agencies. It should enable the user to enter the match score, sub string search, inclusion of various search parameters to refine the search.</p>	
	Alerts Management & Transaction Monitoring	
104.	<p>The system should provide rule based suspicious transaction identification. The system should have the ability to update above rules incorporating new scenarios as and when notified by the concerned authority for identifying suspicious transactions. These updations should be done on prompt basis. The system should also have provision to create user defined rules basing on various parameters like customer type ,</p>	

	nature of business, various risks etc.	
105.	The system should provide pre-implemented all IBA notified suspicious case scenarios and also FIU-IND alerts including recently provide Trade based money laundering scenarios. Since some scenarios are based on observations made by the relationship manager, the system should have a facility for case preparation of these scenarios, in line with transaction based cases.	
106.	Since various persons try to make simple transactions look very complex through various methods to confuse the investigation official, so the system should have support for link analysis for tracing multitude of relationships between customers and to be able to identify all the intermediate accounts for inclusion in the suspicious case preparation.	
107.	The system should effectively integrate with various solutions implemented in the bank like CBS, Credit/Debit Cards application, prepaid cards ITMS etc. for the generation of all the alert scenarios and also for preparation of various statutory reports.	
108.	The AML system should allow for benchmarks to be fixed based on the general behaviour of entities (Customers, Products etc.). The default benchmarks should be definable in the system and the user should be able to edit an existing benchmark.	
109.	Closure of alerts should be done in the system and report for the same is to be obtained as and when required. Users should be notified about the cases allotted to them which are pending to be investigated, if it crosses the time window from the date of generation and allotment.	
110.	Users should be able to view transactional details of all alerts fired with respect to the certain customer. There should be no need to navigate away from the system to view these details and bank's cbs system should be accessible to the user in the same window	
111.	System should have provision for work load balancing for alerts assignment. Reports should also provide information to management on the alerts status. It should also be possible to re-run any rule at any time	

	and for any past date.	
	Reporting & Case Preparation Requirements	
112.	FIU-IND defined formats for various reports like STR , CTR ,CBWTR , NTR ,CCR etc. may change over the period of time and accordingly should be taken up by the vendor and provided without any delays.	
113.	Address the challenges in statutory reports" submission by automating the process from data extraction to submission to FIU-IND before cut-off date. Various reports like List screening report for new and existing customers, transaction report , transactions in High-risk countries report, KYC gap reports etc. There should be an option to download reports in various formats like xls, rtf, pdf etc.	
114.	The suspicious transaction report(STR) should be auto populated with all the necessary information to substantiate the case and there should be automatic preparation of case approval notes in the defined formats. There should be provision to link multiple cases pertaining to the same customer. Also support for attaching evidence documents.	
115.	The case management utility should have provision to define roles for the officers involved. The system should have facility to escalate the case to next level after completion of the role assigned to a user up to logical conclusion of the case.	
	Other Requirements	
116.	There should be support for automated uploading of data for previous day from the bank's CBS system to AML system without any manual intervention. There should be a provision for the users to raise a ticket in the system in case of any issue faced to maintain the record of time span for issue resolution.	
117.	The system should have complete and comprehensive security from unauthorized access. The number of levels / rights assigned to each level should be user configured by the bank. System should provide Maker/Checker facility. System should provide full audit trail for the events like alert generation, case creation , change to case information, changes to lists etc.	
118.	It shall properly maintain and preserve account and	

	<p>alert information in a manner that allows data to be retrieved easily and quickly whenever required or when requested by the competent authorities. Further, it shall maintain for at least ten years from the date of transaction between the bank and the client, all necessary records of transactions, as required under PMLA 2002 which will permit reconstruction of individual transactions so as to provide, if necessary, evidence for prosecution of persons involved in criminal activity.</p>	
119.	<p>The application should have ability to White-list certain accounts/Customers as per decision taken by the Bank (for example: staff accounts, Corporate Concentration Accounts, Govt. Department Accounts etc.)</p>	
120.	<p>System should be able to categorize all customers into risk categories as per Customer Risk Categorization policy of the Bank issued from time to time.</p>	
121.	<p>System should be able to conduct Risk categorization process of customers, based upon various static and variable parameters linked with UCIC/CIF level as well as account level information.</p>	
122.	<p>The new software should capable of incorporation of the changes suggested by the Bank based upon internal assessment/ Regulator's requirement in the parameters/threshold values/Risk calculation matrix for review/renew of customer's risk profile at regular intervals as decided by the Bank</p>	
123.	<p>Transactions done through SWIFT, Trade Finance, net banking, Mobile banking, POS etc. and through any other channels should be integrated with the new application with proper channel identifier.</p>	
124.	<p>The new application should be capable of creating of transaction threshold limit for all types of deposit/CC/OD accounts based upon the parameters as decided by the bank/stipulated by the Regulators (RBI/MAS/HKMA etc.)</p> <p>Further, the system should capable of identifying the accounts whose transactions, breaching the transaction threshold value set for the particular accounts and generate proper monitoring tools for these type of accounts.</p>	
125.	<p>The system should be capable of identifying the</p>	

	transactions related to the sanctioned countries.	
126.	Credit /Debit summation of cash deposit in all alert generation should be provided for STR alert.	
127.	Draft issued and government transactions to non-customers details should be provided.	
128.	Risk Profile based on cash transaction and turnover details should be provided.	
129.	Pre-paid Card alerts should be provided.	
130.	STR alerts to be generated on T+1 day, i.e. transactions of 1st of the month should appear in the morning of 2nd day of the month so that risk involved in delay can be mitigated.	
131.	TBML and other IBA rule indicators to be embedded in the software.	
132.	Software should do Behaviour Analysis based on past transactions and profile of the customers such as Occupation, Constitution, Annual income, Annual turnover and KYC documents of the customer	
133.	Software should have de duplication process	
134.	In case of loan and cc accounts, limits should be displayed	
135.	Software should have link of MPAY Transactions enquiry	
136.	Software should capture prepaid card alerts as per RBI, MAS, HKMA instructions for walk in customer	
137.	Software should have Audit trail	
138.	In "Report on STR Pending for Action", STR Reason Code should also be mentioned	
139.	Report on debit and credit summations of turnover should be provided Financial Year wise.	
140.	Report on total cash transaction in a financial year can be generated for all STR marked account	

There should be provision in the system for generating/processing of the specified requirement on real-time/near real time basis in future, as per the requirement of the Bank. List of alert indicators suggested by the IBA/FIU-IND/RBI/ MAS/HKMA till date has to be incorporated in the new AML software. This list is only indicative and not exhaustive. The new software should be efficient to incorporate new alert indicators as suggested by the Regulators as well as decided by the Bank from time to time in future as well as variable threshold values depending upon the business and decision taken by the Bank in future.

Technical Requirement:

The major responsibilities as specified above are indicative only and are not exhaustive in any manner.

Sl. No	Particular Details	Compliance Yes/No
1.	Hardware, Operating System and Database Requirements	
1.1	Hardware should be flexible enough to handle the changes in the AML standards mandated by RBI/ MAS/HKMA IBA/FIU in the course of time.	
1.2	Hardware must be brand new and manufactured as per the latest technology.	
1.3	Hardware should be robust, capable of sustained operations and have seamless integration of the solution with existing CBS and any updated version of CBS/Finacle without any extra cost.	
1.4	Hardware should have user interface with the peripherals and to host computer/server through Bank's LAN/WAN and should be able to support different protocols (TCP/IP, IPX etc.)	
1.5	Implement patches/ upgrades on all software, firmware and should abide by the all Audit requirements such as process audit, VAPT(Vulnerability Assessment Penetration Testing) etc. as and when required and ensure its timely compliance.	
1.6	Hardware Equipment should be scalable to support futuristic requirements of the Bank during project period.	
1.7	Hardware should have built-in redundancy features like dual power supply, dual NIC etc. to ensure high availability and hardware components should be hot swappable.	
1.8	Should have the ability for patch management/upgradation of database and online replication.	
1.9	Ability to implement Sans for data storage in the architecture	

2.	Integration Application Requirements	
2.1	Ability to integrate to support online, real time and batch operation.	
2.2	Integrator's support for scheduling and defining of jobs.	
2.3	Application should handle automatic switchover in cluster environment	
3.	Backup and Recovery	
3.1	The backup success rate should be 100% at all times for AML solution and apart from system backup, external backup should also be taken in tape drive at both Primary Data Centre (DC) and Disaster Recovery (DR) location on daily basis.	
3.2	The solution should support online replication (both database level & Storage level) at DR site. It should be capable of automating the backup processes for all the applications/ databases in primary and Disaster Recovery Sites.	
3.3	It should support load balancing in terms of system parameters (CPU, Hard Disk, Memory etc.)	
4.		
4.1	Data migration from existing AML solution should be the sole responsibility of the selected Vendor. However, Bank shall co-ordinate for providing the required data from the existing systems. No manual data entry of master and transaction records should be done by the users. The data required in the proposed solution which is not available in the existing AML solution has to be extracted from other source systems and uploaded to the proposed solution by the Vendor without any manual intervention.	

4.2	<p>The system should have complete and comprehensive security from unauthorized access. The number of levels / rights assigned to each level should be user configured by the bank. System should provide Maker/Checker facility.</p> <p>System should provide full audit trail for the events like alert generation, case creation, change to case information, changes to lists etc.</p>	
4.3	<p>It shall properly maintain and preserve account and alert information in a manner that allows data to be retrieved easily and quickly whenever required or when requested by the competent authorities. Further, it shall maintain for at least ten years from the date of transaction between the bank and the client, all necessary records of transactions, as required under PMLA 2002 which will permit reconstruction of individual transactions so as to provide, if necessary, evidence for prosecution of persons involved in criminal activity.</p>	
4.4	<p>Day/month/quarter end/half year end/ year begin and end process should be menu driven and reports should be defined and printed/generated immediately after day begin and end. There should not be any user intervention. Audit trail of the same should be maintained.</p>	
4.5	<p>System should track the client's IP and network interface address.</p>	
4.6	<p>Export of reports and inquiries into different formats like word, excel, pdf, text, csv etc.</p>	
4.7	<p>Application should be web based only.</p>	
4.8	<p>The solution should have the capability to archive the data on HDD/peripherals and retrieve from the above for the purpose of processing.</p>	
4.9	<p>The solution should provide user defined backup/ retrievals (Automated/ Scheduled/ Manual).</p>	
4.10	<p>The details of support for backup/retrieval of database and applications shall be furnished.</p>	

4.11	Support for integration with packages like chart generators, statistical/ financial DLLs, MS Office components, popular case tools etc.	
4.12	Type of import and export capabilities available for creating customized data feeds.	
4.13	Database link, data dictionary and support should be provided to bank's team to enable them to generate the reports in Bank's formats without any additional cost.	
5.	Security/ Audit Trail	
5.1	The system should enable profiling of users and definition of control levels and passwords.	
5.2	All error messages must be logged. It should be possible to look up online (by error message number or by alphabetical list) all error messages reported by the system, to determine their meaning and the appropriate corrective course of action. Error messages or events of a certain severity level should be immediately notified automatically by email, SMS, etc. to the system administrator, Group and actual user.	
5.3	System should provide auditable management of User-I ds, access rights and passwords, logins, activities etc. All of these should match with the IT security policy of the bank.	
5.4	Maintenance of a secure auditable log of access to the system, identifying user- ID, date, time, functions accessed, operations performed. The raw logs have to be stored for at least 10 years.	
5.5	A separate login/Role/ user type is required for auditors who can view all the parameters/ test cases/ pending reports/ and perform complete Audit/ reporting through the user. Though the audit user would have view permission only for the AML data/ details, the person would have the full capabilities including update/ delete in the audit.	

5.6	<p>Ability to provide comprehensive Audit trail features such as:</p> <ul style="list-style-type: none"> ➤ Daily activities log merged into the history log files ➤ Date, time and user stamped process list for different processes. ➤ Provision for daily activity reports to highlight all the processes invoked. ➤ Provision for recording of all unsuccessful login attempts. 	
6.	Archival and Retrieval	
6.1	The proposed solution should provide for backup and archival of the data.	
6.2	The number of required No. of month's transaction data that will be retained on- line will be set by the Bank as a system parameter.	
6.3	The proposed solution should be capable of retrieving and reading the already archived data in the old solution and also in the new solution.	
7.	Other General Requirements	
7.1	The vendor shall specify the database type and version used for solution.	
7.2	The vendor should provide the documents with detail architectural flow, the hardware, Operating Software, database structure, middleware and other software required for the AML/CFT Solution.	
7.3	The application software offered by the Vendor should have adequate redundancy, fault tolerance and Disaster recovery arrangement.	
7.4	Selected Vendor will also provide hardware sizing keeping in view of the 20% growth rate for the next 5 years.	
7.5	The Vendor will have to render customization, develop, install, implement migration of all Alert Scenarios from Legacy to new Solution, migration of existing database, integrate, provide support / maintenance, services to our staff at the respective Centralized Processing Centre for AML / CFT.	

7.6	The solution should be capable to support for 20% growth in database on YOY basis for next 5 years.	
7.7	Software should be Hardware Independent and should be able to support Operating System Software, Database (Preferably using Big Data Analytics), and Middleware on latest release version and should support the latest versions as released by the OEM.	
7.8	System should be three tier (Web/App/DB) web based and should be able to support simultaneous use of the system by multiple users without any restriction.	
7.9	Software should support web based Alert management deployed to distribute alerts to HO/FGMO/ZO/Branch level users and for getting feedback on Alerts & dash board for monitoring the status of Alerts to fix user level bench marks for closing alerts. Provision to verify and put comments by Concurrent / RBIA Auditors must be provided in the Software.	
7.10	The tool should have the provision to monitor transactions in multiple currencies.	
7.11	Separate DRS/Backup/Test server to be configured for smooth Functioning of daily AML Alert generation and monitoring process.	
7.12	CMS-Change Management System should be in place to monitor any changes being performed in system. The application provider needs to maintain version control, patch management, upgrade and other changes, etc. as per bank's guidelines.	
7.13	Upgrades – All upgrades to the Application should be provided on periodical(monthly/quarterly) basis.	
7.14	The application software offered by the Vendor should have adequate redundancy, fault tolerance and Disaster recovery arrangement. The solution should support more than one redundant server i.e. local clustering and remote replica (for DR).	
7.15	The solution should support automatic archival / purging of data.	
7.16	The components of system should support multi-processor architecture with load sharing capability.	
7.17	The system should support Service Oriented Architecture.	

7.18	The system should run in high availability or fault tolerant modes.	
7.19	The application should support modular architecture.	
7.20	The application should support Bulk Static Data upload facility.	
7.21	The solution should provide data masking tool/utility.	
7.22	The product/solution should offer user interface/data-store/reports.	
7.23	The application should take care of rollback and roll-forward features in the event of a transaction failure.	
7.24	The Web, DB or application module support single sign-on using various modules.	
7.25	There should be no limitations or possible security conflicts at your Database/ Application modules	
7.26	The network transmission data packets of client/server or middle-tier support should support encryption/decryption method.	
7.27	The user access to the database (from the application) should be encrypted.	
7.28	The solution should have out of the box functionality for generation of MIS reports and adhoc reports as required by the bank in the format as desired by the Bank and regulators (RBI/MAS/HKMA etc) (e.g. build by the vendor, crystal, SQL reporting etc.)	
7.29	The solution should not have any resource limits (memory /disk /threads etc.) that would prohibit the product from continuous running.	
7.30	The solution should be flexible enough to migrate applications from one Database to the other.	
7.31	The solution should have tools to migrate & mask data across different databases	
7.32	The solution should be capable enough to archived information to reside in a separate database and yet be available online as and when required by the end-user.	

7.33	The solution should be configurable to support holding of minimum 5 or more years MIS data.	
7.34	The solution should have built-in data warehouse facility in the proposed solution. Data mining procedures and capabilities to be provided.	
7.35	The solution should have flexible, form based input for managing parameters, and creating new scenarios and risk factors to monitor risks.	
7.36	System should be able to distribute securely across multiple remote (geographic) environments and servers.	
7.37	There should be provision to assign higher processor and I/O resources at administrator level to handle high volume of transaction during peak hours.	
7.38	System should support to integrate all the other applications adopted by the bank. For ex. CBS(FCR&FCC)/NEFT/ RTGS/CARDS SOFTWARE / SWIFT/ ITMS/ ATM / Internet Banking / Mobile Banking.	
7.39	The solution should provide development platform along with the product suite.	
7.40	The solution should support in-house development/customizations to be done by the Bank Team.	

Bill of Material

Specification of Licenses				
Sl. no	Description	Specification (Make, Model, Version etc. as applicable)		
		DC	DR	UAT
1	Operating System			
2	Middleware			
3	Any other software (if any) required for complete setup.			

Specification of Hardware		
Sl. No.	Description	Detailed Description
1	Hardware For Data Centre (DC) (High availability configuration)	Make Model RAM Storage Processor Others (if any)
2	Hardware For Data Recovery (DR) Centre	Make Model RAM Storage Processor Others (if any)
3	Hardware For UAT	Make Model RAM Storage Processor Others (if any)
4	Total Storage (DC, DR, UAT) (DC& DR-Raid I+0 & UAT- RAID 5)	Make Model Capacity Type Others (if any)

Annexure – XX

Format of Masked Commercial bid is attached herewith as separate annexure

Annexure – XXI

Format of Commercial bid is attached herewith as separate annexure

COMPLIANCE CHART**Compliance chart for submitting Sub: RFP for Procurement of Comprehensive Anti-Money & Trade Based Money Laundering Solution for Hongkong & Singapore Centres**

Sl. No.	Particulars	Compliance Status (Yes / No)	Page No. Of the bid document submitted
1.	Are Technical & Commercial bid submitted under separate sealed envelopes?		
2	Is the Technical bid made in conformity with technical bid template as per Annexure XVIII?		
3.	Is the Commercial bid made in conformity with Commercial template as Annexure XXI?		
4.	Are the Technical & Commercial Bids organized properly?		
5.	Are all the pages numbered properly and signed and stamped.		
6	Is Bid Security Declaration submitted?		
7	Duly signed Annexures I to XXVIII are enclosed		
8.	Is the softcopies of the response of Technical, Functional and Commercial RFP submitted in separate?		
9.	Are document in support of all eligibility criteria submitted?		
10.	Are your solution complied with all Scope of work.		
11.	Is the Manufacturer Authorization Form submitted?		
12.	Audited Balance Sheet and Profit & Loss Account documents for the last 3 years		
13.	Power of Attorney/Authority letter issued by the competent authority for signing the Bid document on behalf of the company.		

For.....

(Signature and seal of authorized person)

Place:**Date:**

Performa of letter to be given by all the Bidder participating in the UCO Bank RFP for Procurement of Comprehensive Anti-Money & Trade Based Money Laundering Solution for Hongkong & Singapore Centres

**To
Deputy General Manager (DIT, BPR & BTB)
UCO Bank, Head Office,
Department of Information Technology
5th Floor, 3&4, DD Block, Sector-I
Salt Lake, Kolkata -700064**

Sir,

Sub: RFP for Procurement of Comprehensive Anti-Money & Trade Based Money Laundering Solution for Hongkong & Singapore Centers

Further to our proposal dated, in response to the Request for Proposal (Bank's tender No. here in after referred to as "RFP") issued by UCO Bank, we hereby covenant, warrant and confirm as follows:

The soft-copies of the proposal submitted by us in response to the RFP and the related addendums and other documents including the changes made to the original tender documents issued by the Bank, conform to and are identical with the hard-copies of aforesaid proposal required to be submitted by us, in all respects.

The bid submitted herein shall be valid for a period of 180 days from the date of RFP response submission process closes.

Yours faithfully,

**Authorized Signatory
Designation
Bidder's corporate name**

(TO BE PROVIDED ON Rs.100/- STAMP PAPER)

Self-Certificate for Local Content

Date: __/__/____

I.....S/o, D/o, W/o.....resident of.....do hereby solemnly affirm and declare as under:

- 1) That I will agree to abide by the terms and conditions mentioned in the tender specification issued vide ref. no.....dated.....
- 2) That the information furnished hereinafter is correct to the best of my knowledge and belief and that I undertake to produce the relevant records before to any authority nominated by UCO Bank for the purpose of assessing the Local Content.
- 3) That the Local Content for all inputs which constitute the Goods (mention the procurement) has been verified by me and that I am responsible for the correctness and accuracy of the claims made therein.
- 4) That in the event of the Local Content mentioned herein is found to be incorrect and not meeting the prescribed norms of Local Content, based on the assessment of an authority so nominated by UCO Bank and that I will be liable as under Clause 9(f) of Public Procurement (Preference to Make in India) Order 2017, as amended.
- 5) That I agree to maintain all the information regarding my claim for Local Content in our records and that I shall make the requisite information available to UCO Bank as and when required.
- 6) That *I (name of Manufacturer) do hereby confirm in respect of quoted item(s) that the Local Content is equal to or more than 50% and come under 'Class-I Local Supplier' Category. As being 'Class-I Local Supplier', I am eligible for Purchase Preference under 'Make in India' Policy vide Government of India Order no. P-45021/2/2017-PP (B.E.-II) dated 15.06.2017 (subsequently revised vide Orders dated 28.05.2018, 29.05.2019 and 04.06.2020)

OR

That *I (name of Manufacturer) do hereby confirm in respect of quoted item(s) that Local Content is more than 20% but less than 50% and come under 'Class-II Local Supplier' Category.

7) That I submit as under:

Name & Details of the Local Supplier (Regd. Office, Manufacturing Unit, Location, Nature of legal entity)	
Date on which this Certificate was issued	
Product for which the Certificate is issued	
Procuring Agency to whom the Certificate is furnished	
Percentage of Local Content claimed	
Name & details of the unit of the Manufacturer	
Sale Price of the Product	
Ex-Factory Price of the Product	
Freight, Insurance and handling	
Total bill of Material	
List & Total cost value of inputs used manufacture of the proposed Goods	
List & Total cost value of inputs which are locally sourced (Attach Certificates of Local Content from Local Suppliers, if the input is not in-house)	
List and cost of inputs which are imported (directly or indirectly)	
Any other information	

8) That the details of the location(s) at which the local value addition made is/are as under:

Sl. No.	Product Details	Name of Place

For & on behalf of

Signature of the Authorised Signatory of the Bidder (insert name, designation & contact number)

Official Seal of the Bidder

Date:

*** Strike out whichever is not applicable**

Restriction on Procurement due to National Security

This Certificate should be submitted on the letterhead of the bidder duly signed by an authorized signatory

**To,
Deputy General Manager (DIT, BPR & BTB)
UCO Bank, Head Office,
Department of Information Technology
5th Floor, 3&4, DD Block, Sector-I
Salt Lake, Kolkata -700064**

Dear Sir,

Sub: RFP for Procurement of Comprehensive Anti-Money & Trade Based Money Laundering Solution for Hongkong & Singapore Centres

1. "I have read the clause regarding restrictions on procurement from a bidder of a country which shares a land border with India; I hereby certify that this bidder is not from such a country and is eligible to be considered."
2. "I have read the clause regarding restrictions on procurement from a bidder of a country which shares a land border with India; / certify that this bidder is not from such a country or, if from such a country, have been registered with the Competent Authority. I hereby certify that this bidder fulfils all requirements in this regard and is eligible to be considered. (Where applicable, evidence of valid registration by the Competent Authority shall be attached.)"

Yours Faithfully,

Authorised Signatory,

Name:

Designation:

Vendors Corporate Name:

Address:

Email:

Contact No.

Sizing Adequacy letter

Self-Declaration- Sizing of Hardware

To

**The Deputy General Manager
DIT, BPR & BTD
UCO Bank, Head Office
5th Floor, 3&4, DD Block, Sector-I
Salt Lake, Kolkata -700064**

Dear Sir,

Sub: Self Declaration – Sizing of Hardware

Ref: RFP for Procurement of Comprehensive Anti-Money & Trade Based Money Laundering Solution for Hongkong & Singapore Centres

We _____ (Bidder Name & address) have reviewed the sizing submitted and in agreement with the proposed sizing to maintain the SLA for the contract duration . We confirm that the sizing is adequate and will meet the requirements of the UCO Bank as stated in the RFP.

However, in the instance of the solution not working as per the SLA and response time mentioned in the RFP, we will augment the solution at no additional cost to the UCO Bank.

Signature of Authorized Official

Name and Designation with Office Seal

Place:

Date:

Hardware End of Life and Support Declaration

(This letter should be on the letterhead of the OEM duly signed by an authorized signatory)

**Deputy General Manager (DIT, BPR & BTB)
UCO Bank, Head Office,
Department of Information Technology
5th Floor, 3&4, DD Block, Sector-I
Salt Lake, Kolkata -700064**

Sir,

Ref: RFP for Procurement of Comprehensive Anti-Money & Trade Based Money Laundering Solution for Hongkong & Singapore Centres

We _____ (OEM & address) has supplied _____ (Hardware & software Make / model and quantity). We confirm that the Supplied device/s will not be end-of-life / End-of-sale within 2 years from the date of delivery and will be under support from the date of Delivery of hardware to next 7 years. The bug/Patches/components/security patches and releases will be available to Bank for above mentioned 7 years' duration, the same responsibility shall so survive even after termination or expiry of the contract.

Signature of Authorized Official

Name and Designation with Office Seal

Place:

Date:

Resource Deployment

No of resources to be deployed on each phase of implementation to be mentioned in below format.

Profile	Requirement Gathering	Design	Implementation	Test	Deployment	Post Implementation
Project Manager						
Banking Domain Expert						
Techno-Functional Expert- Business Analyst						
Infra Lead						
Database Lead						
Database Migration						
QA Personnel						
Tester						
If any others, Please mention the profile						

Signature of Authorized Official

Name and Designation with Office Seal

Place:

Date: