



**REQUEST FOR PROPOSAL  
FOR PROCUREMENT OF QUEUE MANAGEMENT SOLUTION**

**Ref: SBI/CC/BRNWM/QMS/2023-24/001dated: 22/03/2024**

***Branch Redesign and Network Management Department  
2<sup>nd</sup> Floor, State Bank Bhawan, Nariman Point, Mumbai 400064***

### 1. Schedule of Events

Sl No	Particulars	Remarks
1	Contact details of issuing department (Name, Designation, Mobile No., Email and office address for sending any kind of correspondence regarding this RFP)	Name: Lalitha Rudrabhatla Designation: Dy. General Manager Email ID: dgm.brnwm@sbi.co.in Contact Address: State Bank Bhawan, 2 <sup>nd</sup> Floor, Nariman Point, Madam Cama Road, Mumbai 400064 Contact Number: 022-2240231, 9676150709
2	Bid Document Availability including changes/amendments, if any to be issued	RFP may be downloaded from Bank's website <a href="https://www.sbi.co.in">https://www.sbi.co.in</a> procurement news from 22.03.2024 to 16.04.2024
3	Last date for requesting clarification	Upto 16:00 hrs on 01.04.2024 All communications regarding points / queries requiring clarifications shall be given in writing or by e-mail-dgm.brnwm@sbi.co.in
4	Pre - bid Meeting at (venue)	From 16:00hrs to 18:00hrs on 05.04.2024 through online meeting
5	Clarifications to queries raised at pre-bid meeting will be provided by the Bank.	On 12.04.2024
6	Last date and time for Bid submission	Upto 15:30 hrs. on 16.04.2024
7	Address for submission of Bids	To be submitted online through e-tendering website <a href="https://etender.sbi">https://etender.sbi</a>
8	Date and Time of opening of Technical Bids	16:00 hrs. on 16.04.2024 Authorized representatives of Bidders may be present online during opening of the Technical Bids. However, Technical Bids would be opened even in the absence of any or all of the Bidder representatives.
9	Opening of Indicative Price Bids	Indicative price bid of technically qualified bidders only will be opened on a subsequent date.
10	Reverse Auction	On a subsequent date which will be communicated to such Bidders who qualify in the Technical Bid.
11	Tender Fee	Rs. 20000 Amount should be deposited in

		<p>A/c No: 10768099503                  IFSC: _SBIN00008586                  Account Name: SBI CENTRAL OFFICE OMD A/C  <b>Tender fee will be non-refundable.</b></p>	
12	Earnest Money Deposit	<p>Rs. 16.33 lakhs.                  Amount should be deposited in                  A/c No: 10768099503                  IFSC: _SBIN00008586                  Account Name: SBI CENTRAL OFFICE OMD A/C                  Or                  EMD should be in the form of a bank guarantee.                  EMD shall be valid for a period of 180 days from bid submission date.  <b>Bidder should deposit EMD and Tender Fee separately.</b></p>	
13	Bank Guarantee	5% of the Total Project Cost	<p>Performance Security in form of BG should be valid for 6 year(s) and three months from the effective date of the Contract.</p>
14	Contact details of e-Procurement agency appointed for e-procurement	<p><b>M/s E-Procurement Technologies Limited (ETPL)</b>                  For e-tender related query, contact at rupesh.c@auctiontiger.net  <b>Support mail:</b>                  support@auctiontiger.net /                  etender.support@sbi.co.in  <b>Support Help Desk Numbers –</b>                  6352631766, 9265562819, 7859800621, 7990334985, 6352632098  <b>DSC related inquiry -</b>                  info@abcProcure.com</p>	

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## 2. INVITATION TO BID:

- i. **State Bank of India** (herein after referred to as ‘**SBI/the Bank**’), having its Corporate Centre at Mumbai, various other offices (LHOs/ Head Offices /Zonal Offices/Global Link Services, Global IT Centre, foreign offices etc.) of State Bank of India, branches/other offices, Subsidiaries and Joint Ventures available at various locations and managed by the Bank (collectively referred to as **State Bank Group or ‘SBG’** hereinafter). This Request for Proposal (RFP) has been issued by **the Bank** on behalf of **SBG** and the Bank sponsored Regional Rural Banks (RRBs) for procurement of Queue Management Solution
- ii. In order to meet the Software Solution/ service requirements, the Bank proposes to invite online Bids from eligible Bidders as per details/scope of work mentioned in **Appendix-E** of this RFP document.
- iii. Bidder shall mean any entity (i.e. juristic person) who meets the eligibility criteria given in **Appendix-B** of this RFP and willing to provide the Software Solution/ service as required in this RFP. The interested Bidders who agree to all the terms and conditions contained in this RFP may submit their Bids with the information desired in this RFP. Consortium bidding is not permitted under this RFP.
- iv. Address for submission of online Bids, contact details including email address for sending communications are given in Schedule of Events of this RFP.
- v. The purpose of SBI behind this RFP is to seek a detailed technical and commercial proposal for procurement of the Software Solution/ service desired in this RFP. The proposed Software Solution/ service must integrate with Bank’s existing infrastructure seamlessly.
- vi. This RFP document shall not be transferred, reproduced or otherwise used for purpose other than for which it is specifically issued.
- vii. Interested Bidders are advised to go through the entire RFP before submission of online Bids to avoid any chance of elimination. The eligible Bidders desirous of taking up the project for supply of proposed Software Solution/ service for SBI are invited to submit their technical and commercial proposal in response to this RFP. 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. This RFP seeks proposal from Bidders who have the necessary experience, capability & expertise to provide SBI the proposed Software Solution/ service adhering to Bank’s requirements outlined in this RFP.

### 1. DISCLAIMER:

- i. The information contained in this RFP or information provided subsequently to Bidder(s) whether verbally or in documentary form/email by or on behalf of SBI, is subject to the terms and conditions set out in this RFP.

- ii. This RFP is not an offer by State Bank of India, but an invitation to receive responses from the eligible Bidders.
- iii. The purpose of this RFP is to provide the Bidder(s) with information to assist preparation of their Bid proposals. This RFP does not claim to contain all the information each Bidder may require. Each Bidder should conduct its own investigations and analysis and should check the accuracy, reliability and completeness of the information contained in this RFP and where necessary obtain independent advices/clarifications. Bank may in its absolute discretion, but without being under any obligation to do so, update, amend or supplement the information in this RFP.
- iv. The Bank, its employees and advisors make no representation or warranty and shall have no liability to any person, including any Bidder under any law, statute, rules or regulations or tort, principles of restitution or unjust enrichment or otherwise for any loss, damages, cost or expense which may arise from or be incurred or suffered on account of anything contained in this RFP or otherwise, including the accuracy, adequacy, correctness, completeness or reliability of the RFP and any assessment, assumption, statement or information contained therein or deemed to form or arising in any way for participation in this bidding process.
- v. The Bank also accepts no liability of any nature whether resulting from negligence or otherwise, howsoever caused arising from reliance of any Bidder upon the statements contained in this RFP.
- vi. The Bidder is expected to examine all instructions, forms, terms and specifications in this RFP. Failure to furnish all information required under this RFP or to submit a Bid not substantially responsive to this RFP in all respect will be at the Bidder's risk and may result in rejection of the Bid.
- vii. The issue of this RFP does not imply that the Bank is bound to select a Bidder or to award the contract to the Selected Bidder, as the case may be, for the Project and the Bank reserves the right to reject all or any of the Bids or Bidders without assigning any reason whatsoever before issuance of purchase order and/or its acceptance thereof by the successful Bidder as defined in Award Criteria and Award of Contract in this RFP.

### 3. DEFINITIONS:

In this connection, the following terms shall be interpreted as indicated below:

- i. **“The Bank”** ‘means the State Bank of India (including domestic branches and foreign offices), Subsidiaries and Joint Ventures, where the Bank has ownership of more than 50%

of voting securities or the power to direct the management and policies of such Subsidiaries and Joint Ventures.

- ii. **“Bidder/Channel Partner”** means an eligible entity/firm submitting the Bid in response to this RFP.
- iii. **“Bid”** means the written reply or submission of response to this RFP.
- iv. **“The Contract”** means the agreement entered into between the Bank and Service Provider, as recorded in the Contract Form signed by the parties, including all attachments and appendices thereto and all documents incorporated by reference therein.
- v. **“Total Contract Price/Project Cost/TCO”** means the price payable to Service Provider over the entire period of Contract for the full and proper performance of its contractual obligations.
- vi. **“Vendor/Service Provider”** is the successful Bidder found eligible as per eligibility criteria set out in this RFP, whose technical Bid has been accepted and who has emerged as L1 (lowest in reverse auction) Bidder as per the selection criteria set out in the RFP and to whom notification of award has been given by the Bank.
- vii. **Software Solution/ Services/ System – “Software Solution” or “Services” or “System”** means all software products, services, scope of work and deliverables to be provided by a Bidder as described in the RFP and include services ancillary to the development of the solution, such as installation, commissioning, integration with existing systems, provision of technical assistance, training, certifications, auditing and other obligation of Service Provider covered under the RFP.
- viii. **Annual Maintenance Contract (AMC)** - It would be the annual cost of maintenance of Software Solution / Service.

#### 4. SCOPE OF WORK:

As given in **Appendix-E** of this document.

The Bank may, at its sole discretion, provide remote access to its information technology system to IT Service Provider through secured Virtual Private Network (VPN) in order to facilitate the performance of IT Services. Such remote access to the Bank’s information technology system shall be subject to the following:

- i. Service Provider shall ensure that the remote access to the Bank’s VPN is performed through a laptop/desktop (“Device”) specially allotted for that purpose by the Service Provider and not through any other private or public Device.

- ii. Service Provider shall ensure that only its authorized employees/representatives access the Device.
- iii. Service Provider shall be required to get the Device hardened/configured as per the Bank's prevailing standards and policy.
- iv. Service Provider and/or its employee/representative shall be required to furnish an undertaking and/or information security declaration on the Bank's prescribed format before such remote access is provided by the Bank.
- v. Service Provider shall ensure that services are performed in a physically protected and secure environment which ensures confidentiality and integrity of the Bank's data and artefacts, including but not limited to information (on customer, account, transactions, users, usage, staff, etc.), architecture (information, data, network, application, security, etc.), programming codes, access configurations, parameter settings, executable files, etc., which the Bank representative may inspect. Service Provider shall facilitate and/ or handover the Device to the Bank or its authorized representative for investigation and/or forensic audit.
- vi. Service Provider shall be responsible for protecting its network and subnetworks, from which remote access to the Bank's network is performed, effectively against unauthorized access, malware, malicious code and other threats in order to ensure the Bank's information technology system is not compromised in the course of using remote access facility.

## 5. ELIGIBILITY AND TECHNICAL CRITERIA:

- i. Bid is open to all Bidders who meet the eligibility and technical criteria as given in **Appendix-B & Appendix-C** of this document. The Bidder has to submit the documents substantiating eligibility criteria as mentioned in this RFP document.
  - (a) If any Bidder submits Bid on behalf of Principal/OEM, the same Bidder shall not submit a Bid on behalf of another Principal/OEM under the RFP. Bid submitted with option of multiple OEMs shall also be considered bid submitted on behalf of multiple OEM.
  - (b) Either the Bidder on behalf of Principal/OEM or Principal/OEM itself is allowed to Bid, however both cannot Bid simultaneously.
- ii. The Bidder shall also submit **PRE-CONTRACT INTEGRITY PACT** along with technical Bid as prescribed in **Appendix-O** duly signed by the Bidder on each page and witnessed by two persons. The **Pre-Contract Integrity Pact** shall be stamped as applicable in the State where it is executed. Bid submitted without Pre-Contract Integrity Pact, as per the format provided in the RFP, shall not be considered.

## 6. COST OF BID DOCUMENT:

The participating Bidders shall bear all the costs associated with or relating to the preparation and submission of their Bids including but not limited to preparation, copying, postage, delivery fees, expenses associated with any demonstration or presentations which may be required by the Bank or any other costs incurred in connection with or relating to their Bid. The Bank shall not be liable in any manner whatsoever for the same or for any other costs or other expenses incurred by a Bidder regardless of the conduct or outcome of the bidding process.

## 7. CLARIFICATION AND AMENDMENTS ON RFP/PRE-BID MEETING:

- i. Bidder requiring any clarification on RFP may notify the Bank in writing strictly as per the format given in **Appendix-M** at the address/by e-mail within the date/time mentioned in the Schedule of Events.
- ii. A pre-Bid meeting will be held in person or online on the date and time specified in the Schedule of Events which may be attended by the authorized representatives of the Bidders interested to respond to this RFP.
- iii. The queries received (without identifying source of query) and response of the Bank thereof will be posted on the Bank's website or conveyed to the Bidders.
- iv. The Bank reserves the right to amend, rescind or reissue the RFP, at any time prior to the deadline for submission of Bids. The Bank, for any reason, whether, on its own initiative or in response to a clarification requested by a prospective Bidder, may modify the RFP, by amendment which will be made available to the Bidders by way of corrigendum/addendum. The interested parties/Bidders are advised to check the Bank's website regularly till the date of submission of Bid document specified in the Schedule of Events/email and ensure that clarifications / amendments issued by the Bank, if any, have been taken into consideration before submitting the Bid. Such amendments/clarifications, if any, issued by the Bank will be binding on the participating Bidders. Bank will not take any responsibility for any such omissions by the Bidder. The Bank, at its own discretion, may extend the deadline for submission of Bids in order to allow prospective Bidders a reasonable time to prepare the Bid, for taking the amendment into account. Nothing in this RFP or any addenda/corrigenda or clarifications issued in connection thereto is intended to relieve Bidders from forming their own opinions and conclusions in respect of the matters addresses in this RFP or any addenda/corrigenda or clarifications issued in connection thereto.
- v. No request for change in commercial/legal terms and conditions, other than what has been mentioned in this RFP or any addenda/corrigenda or clarifications issued in connection thereto, will be entertained and queries in this regard, therefore will not be entertained.
- vi. Queries received after the scheduled date and time will not be responded/acted upon.

## 8. CONTENTS OF BID DOCUMENT:

- i. The Bidder must thoroughly study/analyze and properly understand the contents of this RFP, its meaning and impact of the information contained therein.
- ii. Failure to furnish all information required in this RFP or submission of Bid not responsive to this RFP in any respect will be at the Bidder's risk and responsibility and the same may finally result in rejection of its Bid. The Bank has made considerable effort to ensure that accurate information is contained in this RFP and is supplied solely as guidelines for Bidders.
- iii. The Bid prepared by the Bidder, as well as all correspondences and documents relating to the Bid exchanged by the Bidder and the Bank and supporting documents and printed literature shall be submitted in English.
- iv. The information provided by the Bidders in response to this RFP will become the property of the Bank and will not be returned. Incomplete information in Bid document may lead to non-consideration of the proposal.

## 9. EARNEST MONEY DEPOSIT (EMD):

- i. The Bidder shall furnish EMD for the amount and validity period mentioned in Schedule of Events of this RFP.
- ii. EMD is required to protect the Bank against the risk of Bidder's conduct.
- iii. The EMD should be directly credited to the designated account or it should be in form of Bank Guarantee (as prescribed in **Appendix-P**) issued in favour of State Bank of India by any scheduled commercial bank in India. In case, SBI is the sole banker of the Bidder, a Letter of Comfort from SBI would be acceptable.

If EMD is directly credited to designated account, proof of remittance of EMD in the designated account should be enclosed with the technical bid. However, if EMD is in form of Bank Guarantee, scanned copy of original EMD Bank Guarantee should be uploaded on portal of e-Procurement agency along with technical bid. Original EMD Bank Guarantee should be [delivered through registered post/courier](#) or given in person to the Bank at the address specified in Schedule of Event Sl. No. 1, within the bid submission date and time for the RFP.

- iv. Any Bid not accompanied by EMD for the specified amount and not submitted to the Bank as mentioned in this RFP will be rejected as non-responsive.

- v. The EMD of the unsuccessful Bidder(s) would be refunded/returned by the Bank within 2 weeks of the Bidder being notified as being unsuccessful.
- vi. The EMD of successful Bidder will be discharged upon the Bidder signing the Contract and furnishing the Bank Guarantee for the amount and validity as mentioned in this RFP, which should be strictly on the lines of format placed at **Appendix-H**.
- vii. No interest is payable on EMD.
- viii. **The EMD may be forfeited: -**
  - (a) if a Bidder withdraws his Bid during the period of Bid validity specified in this RFP; or
  - (b) if a technically qualified Bidder do not participate in the auction by not logging in, in the reverse auction tool; or
  - (c) if a Bidder makes any statement or encloses any form which turns out to be false / incorrect at any time prior to signing of Contract; or
  - (d) if the successful Bidder fails to accept Purchase Order and/or sign the Contract with the Bank or furnish Bank Guarantee, within the specified time period in the RFP.
- ix. If EMD is forfeited for any reasons mentioned above, the concerned Bidder may be debarred from participating in the RFPs floated by the Bank/this department, in future, as per sole discretion of the Bank.

#### **10. BID PREPARATION AND SUBMISSION:**

- i. The Bid is to be submitted separately for technical and Price on portal of e-Procurement agency for **providing of Queue Management Solution** in response to the **RFP No. SBI/CC/BRNWM/QMS/2023-24/001 Dated 22/03/2024**. Documents mentioned below are to be uploaded on portal of e-Procurement agency with digital signature of authorised signatory:
  - (a) Index of all the documents, letters, bid forms etc. submitted in response to RFP along with page numbers.
  - (b) Bid covering letter/Bid form on the lines of **Appendix-A** on Bidder's letter head.
  - (c) Proof of remittance of EMD (if directly credited in designated account) and Tender Fee as specified in this document. In case, EMD is submitted in form of BG, scanned copy of original BG should be uploaded subject to compliance of requirement mentioned in clause no 11 "**DEADLINE FOR SUBMISSION OF BIDS**" sub-clause (ii).

- (d) Specific response with supporting documents in respect of Eligibility Criteria as mentioned in **Appendix-B** and technical eligibility criteria on the lines of **Appendix-C**.
- (e) Bidder's details as per **Appendix-D** on Bidder's letter head.
- (f) Audited financial statement and profit and loss account statement as mentioned in Part-II.
- (g) A copy of board resolution along with copy of power of attorney (POA wherever applicable) showing that the signatory has been duly authorized to sign the Bid document.
- (h) If applicable, scanned copy of duly stamped and signed Pre-Contract Integrity Pact subject to compliance of requirement mentioned in clause no 11 "*DEADLINE FOR SUBMISSION OF BIDS*" sub-clause (ii).
- (i) If applicable, copy of registration certificate issued by competent authority as mentioned in SI No 2 of Eligibility Criteria under Appendix-B.
- (j) Certificate of local content as per **Appendix-G**.

ii. **Indicative Price Bid** for providing of Queue Management Solution in response to the **RFP No. SBI/CC/BRNWM/QMS/2023-24/001** dated **22/03/2024** should contain only indicative Price Bid strictly on the lines of **Appendix-F**. The Indicative Price must include all the price components mentioned. Prices are to be quoted in Indian Rupees only.

**iii. Bidders may please note:**

- (a) The Bidder should quote for the entire package on a single responsibility basis for Services it proposes to provide.
- (b) While submitting the Technical Bid, literature on the Services should be segregated and kept together in one section.
- (c) Care should be taken that the Technical Bid shall not contain any price information. Such proposal, if received, will be rejected.
- (d) The Bid document shall be complete in accordance with various clauses of the RFP document or any addenda/corrigenda or clarifications issued in connection thereto, duly signed by the authorized representative of the Bidder. Board resolution authorizing representative to Bid and make commitments on behalf of the Bidder is to be attached.
- (e) It is mandatory for all the Bidders to have class-III Digital Signature Certificate (DSC) (in the name of person who will sign the Bid) from any of the licensed certifying agency to participate in this RFP. DSC should be in the name of the authorized signatory. It should be in corporate capacity (that is in Bidder capacity).
- (f) Bids are liable to be rejected if only one Bid (i.e. Technical Bid or Indicative Price Bid) is received.
- (g) If deemed necessary, the Bank may seek clarifications on any aspect from the Bidder. However, that would not entitle the Bidder to change or cause any change in the substances of the Bid already submitted or the price quoted.

- (h) The Bidder may also be asked to give presentation for the purpose of clarification of the Bid.
- (i) The Bidder must provide specific and factual replies to the points raised in the RFP.
- (j) The Bid shall be typed or written and shall be digitally signed by the Bidder or a person or persons duly authorized to bind the Bidder to the Contract.
- (k) All the enclosures (Bid submission) shall be serially numbered.
- (l) Bidder(s) should prepare and submit their online Bids well in advance before the prescribed date and time to avoid any delay or problem during the bid submission process. The Bank shall not be held responsible for any sort of delay or the difficulties faced by the Bidder(s) during the submission of online Bids.
- (m) Bidder(s) should ensure that the Bid documents submitted should be free from virus and if the documents could not be opened, due to virus or otherwise, during Bid opening, the Bid is liable to be rejected.
- (n) The Bank reserves the right to reject Bids not conforming to above.

#### **11. DEADLINE FOR SUBMISSION OF BIDS:**

- i. Bids must be submitted online on portal of e-Procurement agency by the date and time mentioned in the “Schedule of Events”.
- ii. Wherever applicable, the Bidder shall submit the original EMD Bank Guarantee and Pre-Contract Integrity Pact together with their respective enclosures and seal it in an envelope and mark the envelope as “Technical Bid”. The said envelope shall clearly bear the name of the project and name and address of the Bidder. In addition, the last date for bid submission should be indicated on the right and corner of the envelope. The original documents should be submitted within the bid submission date and time for the RFP at the address mentioned in SI No 1 of Schedule of Events, **failing which Bid will be treated as non-responsive.**
- iii. In case the Bank extends the scheduled date of submission of Bid document, the Bids shall be submitted by the time and date rescheduled. All rights and obligations of the Bank and Bidders will remain the same.
- iv. Any Bid received after the deadline for submission of Bids prescribed, will be rejected and returned unopened to the Bidder.

#### **12. MODIFICATION AND WITHDRAWAL OF BIDS:**

- i. The Bidder may modify or withdraw its Bid after the Bid’s submission, provided modification, including substitution or withdrawal of the Bids, is received on e-procurement portal, prior to the deadline prescribed for submission of Bids.
- ii. No modification in the Bid shall be allowed, after the deadline for submission of Bids.

- iii. No Bid shall be withdrawn in the interval between the deadline for submission of Bids and the expiration of the period of Bid validity specified in this RFP. Withdrawal of a Bid during this interval may result in the forfeiture of EMD submitted by the Bidder.

**13. PERIOD OF BID VALIDITY AND VALIDITY OF PRICE QUOTED IN REVERSE AUCTION (RA):**

- i. Bid shall remain valid for duration of 6 calendar months from Bid submission date.
- ii. Price quoted by the Bidder in Reverse auction shall remain valid for duration of 6 calendar months from the date of conclusion of RA.
- iii. In exceptional circumstances, the Bank may solicit the Bidders' consent to an extension of the period of validity. The request and the responses thereto shall be made in writing. A Bidder is free to refuse the request. However, in such case, the Bank will not forfeit its EMD. However, any extension of validity of Bids or price will not entitle the Bidder to revise/modify the Bid document.
- iv. Once Purchase Order or Letter of Intent is issued by the Bank, the said price will remain fixed for the entire Contract period and shall not be subjected to variation on any account, including exchange rate fluctuations and custom duty. A Bid submitted with an adjustable price quotation will be treated as non-responsive and will be rejected.

**14. BID INTEGRITY:**

Willful misrepresentation of any fact within the Bid will lead to the cancellation of the contract without prejudice to other actions that the Bank may take. All the submissions, including any accompanying documents, will become property of the Bank. The Bidders shall be deemed to license, and grant all rights to the Bank, to reproduce the whole or any portion of their Bid document for the purpose of evaluation and to disclose the contents of submission for regulatory and legal requirements.

**15. BIDDING PROCESS/OPENING OF TECHNICAL BIDS:**

- i. All the technical Bids received up to the specified time and date will be opened for initial evaluation on the time and date mentioned in the schedule of events. The technical Bids will be opened in the presence of representatives of the Bidders who choose to attend the same on portal of e-Procurement agency. However, Bids may be opened even in the absence of representatives of one or more of the Bidders.

- ii. In the first stage, only technical Bid will be opened and evaluated. Bids of such Bidders satisfying eligibility criteria and agree to comply with all the terms and conditions specified in the RFP will be evaluated for technical criteria/specifications/eligibility. Only those Bids complied with technical criteria shall become eligible for indicative price Bid opening and further RFP evaluation process.
- iii. The Bank will examine the Bids to determine whether they are complete, required formats have been furnished, the documents have been properly signed, EMD and Tender Fee for the desired amount and validity period is available and the Bids are generally in order. The Bank may, at its discretion waive any minor non-conformity or irregularity in a Bid which does not constitute a material deviation.
- iv. Prior to the detailed evaluation, the Bank will determine the responsiveness of each Bid to the RFP. For purposes of these Clauses, a responsive Bid is one, which conforms to all the terms and conditions of the RFP in toto, without any deviation.
- v. The Bank's determination of a Bid's responsiveness will be based on the contents of the Bid itself, without recourse to extrinsic evidence.
- vi. After opening of the technical Bids and preliminary evaluation, some or all the Bidders may be asked to make presentations on the Software Solution/service proposed to be offered by them.
- vii. If a Bid is not responsive, it will be rejected by the Bank and will not subsequently be made responsive by the Bidder by correction of the non-conformity.

#### **16. TECHNICAL EVALUATION:**

- i. Technical evaluation will include technical information submitted as per technical Bid format, demonstration of proposed Software Solution/services, reference calls and site visits, wherever required. The Bidder may highlight the noteworthy/superior features of their Software Solution/ services. The Bidder will demonstrate/substantiate all claims made in the technical Bid along with supporting documents to the Bank, the capability of the Software Solution/ services to support all the required functionalities at their cost in their lab or those at other organizations where similar Software Solution/ services is in use.
- ii. During evaluation and comparison of Bids, the Bank may, at its discretion ask the Bidders for clarification on the Bids received. The request for clarification shall be in writing and no change in prices or substance of the Bid shall be sought, offered or permitted. No clarification at the initiative of the Bidder shall be entertained after bid submission date.

#### **17. EVALUATION OF INDICATIVE PRICE BIDS AND FINALIZATION:**

- i. The indicative price Bid(s) of only those Bidders, who are short-listed after technical evaluation, would be opened.
- ii. All the Bidders who qualify in the evaluation process shall have to participate in the online reverse auction to be conducted by Bank's authorized service provider on behalf of the Bank.
- iii. Shortlisted Bidders shall be willing to participate in the reverse auction process and must have a valid digital signature certificate. Such Bidders will be trained by Bank's authorized e-Procurement agency for this purpose. Bidders shall also be willing to abide by the e-business rules for reverse auction framed by the Bank / Authorised e-Procurement agency. The details of e-business rules, processes and procedures will be provided to the short-listed Bidders.
- iv. The Bidder will be selected as L1 on the basis of net total of the price evaluation as quoted in the Reverse Auction.
- v. The successful Bidder is required to provide price confirmation and price breakup strictly on the lines of **Appendix-F** within 48 hours of conclusion of the Reverse Auction, failing which Bank may take appropriate action.
- vi. Errors, if any, in the price breakup format will be rectified as under:
  - (a) If there is a discrepancy between the unit price and total price which is obtained by multiplying the unit price with quantity, the unit price shall prevail and the total price shall be corrected unless it is a lower figure. If the Bidder does not accept the correction of errors, the Bid will be rejected.
  - (b) If there is a discrepancy in the unit price quoted in figures and words, the unit price in figures or in words, as the case may be, which corresponds to the total Bid price for the Bid shall be taken as correct.
  - (c) If the Bidder has not worked out the total Bid price or the total Bid price does not correspond to the unit price quoted either in words or figures, the unit price quoted in words shall be taken as correct.
  - (d) The Bidder should quote for all the items/services desired in this RFP. In case, prices are not quoted by any Bidder for any specific product and / or service, for the purpose of evaluation, the highest of the prices quoted by other Bidders participating in the bidding process will be reckoned as the notional price for that service, for that Bidder. However, if selected, at the time of award of Contract, the lowest of the price(s) quoted by other Bidders (whose Price Bids are also opened) for that service will be reckoned. This shall be binding on all the Bidders. However, the Bank reserves the right to reject all such incomplete Bids.

## 18. CONTACTING THE BANK:

- i. No Bidder shall contact the Bank on any matter relating to its Bid, from the time of opening of indicative price Bid to the time, the Contract is awarded.
- ii. Any effort by a Bidder to influence the Bank in its decisions on Bid evaluation, Bid comparison or contract award may result in the rejection of the Bid.

## 19. AWARD CRITERIA AND AWARD OF CONTRACT:

### i. Applicability of Preference to Make in India, Order 2017 (PPP-MII Order)

Guidelines on Public Procurement (Preference to Make in India), Order 2017 (PPP-MII Order) and any revision thereto will be applicable for this RFP and allotment will be done in terms of said Order as under:

(a) Among all qualified bids, the lowest bid (as quoted in reverse auction) will be termed as L1. If L1 is 'Class-I local supplier', the contract will be awarded to L1.

(b) If L1 is not from a '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 supplier's quoted price falling within the margin of purchase preference, and the contract shall be awarded to such 'Class-I local supplier' subject to matching the L1 price.

(c) 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 none of the 'Class-I local supplier' within the margin of purchase preference matches the L1 price, then the contract will be awarded to the L1 bidder.

**For the purpose of Preference to Make in India, Order 2017 (PPP-MII Order) and revision thereto:**

**“Local content”** means the amount of value added in India which shall, **unless otherwise prescribed by the Nodal Ministry**, 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 meets the minimum local content as prescribed for 'Class-I local supplier' hereunder.

“**Class-II local supplier**” means a supplier or service provider whose product or service offered for procurement meets the minimum local content as prescribed for ‘Class-II local supplier’ hereunder. Class-II local supplier shall not get any purchase preference under this RFP.

“**Non-local supplier**” means a supplier or service provider whose product or service offered for procurement has ‘local content’ less than that prescribed for ‘Class-II local supplier’ under this RFP.

“**Minimum Local content**” for the purpose of this RFP, the ‘local content’ requirement to categorize a supplier as ‘Class-I local supplier’ is minimum 50%. For ‘Class-II local supplier’, the ‘local content’ requirement is minimum 20%. If Nodal Ministry/Department has prescribed different percentage of minimum ‘local content’ requirement to categorize a supplier as ‘Class-I local supplier’/ ‘Class-II local supplier’, same shall be applicable.

“**Margin of purchase preference**” means the maximum extent to which the price quoted by a ‘Class-I local supplier’ may be above the L1 for the purpose of purchase preference. The margin of purchase preference shall be 20%.

ii. **Verification of local content**

The ‘Class-I local supplier’/ ‘Class-II local supplier’ at the time of submission of bid shall be required to provide a certificate as per **Appendix-G** 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 requirement for ‘Class-I local supplier’/ ‘Class-II local supplier’ as the case may be.

- iii. Total cost of Software Solution along with cost of all items specified in **Appendix-F** would be the Total Cost of Ownership (TCO)/Total Project Cost and should be quoted by the Bidder(s) in indicative price bid and reverse auction.
- iv. Bank will notify successful Bidder in writing by way of issuance of purchase order through letter or fax/email that its Bid has been accepted. The selected Bidder has to return the duplicate copy of the same to the Bank within **7 working days**, duly Accepted, Stamped and Signed by Authorized Signatory in token of acceptance.
- v. The successful Bidder will have to submit Non-disclosure Agreement, Bank Guarantee for the amount and validity as desired in this RFP and strictly on the lines of format given in Appendix of this RFP together with acceptance of all terms and conditions of RFP.

- vi. Copy of board resolution and power of attorney (POA wherever applicable) showing that the signatory has been duly authorized to sign the acceptance letter, contract and NDA should be submitted.
- vii. The successful Bidder shall be required to enter into a Contract with the Bank and submit the Bank Guarantee, within 30 days from issuance of Purchase Order or within such extended period as may be decided by the Bank.
- viii. Till execution of a formal contract, the RFP, along with the Bank's notification of award by way of issuance of purchase order and Service Provider's acceptance thereof, would be binding contractual obligation between the Bank and the successful Bidder.
- ix. The Bank reserves the right to stipulate, at the time of finalization of the Contract, any other document(s) to be enclosed as a part of the final Contract.
- x. Failure of the successful Bidder to comply with the requirements/terms and conditions of this RFP shall constitute sufficient grounds for the annulment of the award and forfeiture of the EMD and/or BG.
- xi. Upon notification of award to the successful Bidder, the Bank will promptly notify the award of contract to the successful Bidder on the Bank's website. The EMD of each unsuccessful Bidder will be discharged and returned.

**20. POWERS TO VARY OR OMIT WORK:**

- i. No alterations, amendments, omissions, additions, suspensions or variations of the work (hereinafter referred to as variation) under the contract shall be made by the successful Bidder except as directed in writing by Bank. The Bank shall have full powers, subject to the provision herein after contained, from time to time during the execution of the contract, by notice in writing to instruct the successful Bidder to make any variation without prejudice to the contract. The finally selected Bidder shall carry out such variation and be bound by the same conditions as far as applicable as though the said variations occurred in the contract documents. If any, suggested variations would, in the opinion of the finally selected Bidder, if carried out, prevent him from fulfilling any of his obligations under the contract, he shall notify Bank thereof in writing with reasons for holding such opinion and Bank shall instruct the successful Bidder to make such other modified variation without prejudice to the contract. The finally selected Bidder shall carry out such variation and be bound by the same conditions as far as applicable as though the said variations occurred in the contract documents. If the Bank confirms its instructions, the successful Bidder's obligations shall be modified to such an extent as may be mutually agreed, if such variation involves extra cost. Any agreed difference in cost occasioned by such variation shall be added to or deducted from the contract price as the case may be.

- ii. In any case in which the successful Bidder has received instructions from the Bank as to the requirements for carrying out the altered or additional substituted work which either then or later on, will in the opinion of the finally selected Bidders, involve a claim for additional payments, such additional payments shall be mutually agreed in line with the terms and conditions of the order.
- iii. If any change in the work is likely to result in reduction in cost, the parties shall agree in writing so as to the extent of change in contract price, before the finally selected Bidder(s) proceeds with the change.

**21. WAIVER OF RIGHTS:**

Each Party agrees that any delay or omission on the part of the other Party to exercise any right, power or remedy under this RFP will not automatically operate as a waiver of such right, power or remedy or any other right, power or remedy and no waiver will be effective unless it is in writing and signed by the waiving Party. Further the waiver or the single or partial exercise of any right, power or remedy by either Party hereunder on one occasion will not be construed as a bar to a waiver of any successive or other right, power or remedy on any other occasion.

**22. CONTRACT AMENDMENT:**

No variation in or modification of the terms of the Contract shall be made, except by written amendment, signed by the parties.

**23. BANK'S RIGHT TO ACCEPT ANY BID AND TO REJECT ANY OR ALL BIDS:**

The Bank reserves the right to accept or reject any Bid in part or in full or to cancel the bidding process and reject all Bids at any time prior to contract award as specified in Award Criteria and Award of Contract, without incurring any liability to the affected Bidder or Bidders or any obligation to inform the affected Bidder or Bidders of the grounds for the Bank's action.

**24. BANK GUARANTEE:**

- i. Performance security in form of Bank Guarantee [BG] for the amount with validity period as specified in this RFP strictly on the format at Appendix-H is to be submitted by the finally selected Bidder (s). The BG has to be issued by a Scheduled Commercial Bank other than SBI and needs to be submitted within the specified time of receipt of formal communication from the Bank about their Bid finally selected. In case, SBI is the sole Banker for the Bidder, a Letter of Comfort from SBI may be accepted.

- ii. The Bank Guarantee is required to protect the interest of the Bank against delay in supply/installation and/or the risk of non-performance of the successful Bidder in respect successful implementation of the project, or performance of the material or services sold, or breach of any terms and conditions of the Agreement, which may warrant invoking of Bank Guarantee.

## **25. SYSTEM INTEGRATION TESTING & USER ACCEPTANCE TESTING:**

Service Provider should integrate the software with the existing systems as per requirement of the Bank and carry out thorough system integration testing.

System integration testing will be followed by user acceptance testing, plan for which has to be submitted by Service Provider to the Bank. The UAT includes functional tests, resilience tests, benchmark comparisons, operational tests, load tests etc. SBI staff / third Party vendor designated by the Bank will carry out the functional testing. This staff / third party vendor will need necessary on-site training for the purpose and should be provided by Service Provider. Service Provider should carry out other testing like resiliency/benchmarking/load etc. Service Provider should submit result log for all testing to the Bank.

On satisfactory completion of the aforementioned tests, the User Acceptance Test (UAT) letter will be issued to Service Provider by the competent authority on the line of **Appendix-I**.

## **26. SERVICES:**

- i. All professional services necessary to successfully implement the proposed Software Solution will be part of the RFP/Contract.
- ii. The Bidder should also submit as part of technical Bid an overview of Project Management approach of the proposed product.
- iii. Bidder should ensure that key personnel with relevant skill-sets are available to the Bank.
- iv. Bidder should ensure that the quality of methodologies for delivering the services, adhere to quality standards/timelines stipulated therefor.
- v. Bidder shall be willing to transfer skills to relevant personnel from the Bank, by means of training and documentation.

- vi. Bidder shall provide and implement patches/ upgrades/ updates for hardware/ software/ Operating System / Middleware etc as and when released by Service Provider/ OEM or as per requirements of the Bank. Bidder should bring to notice of the Bank all releases/ version changes.
- vii. Bidder shall obtain a written permission from the Bank before applying any of the patches/ upgrades/ updates. Bidder has to support older versions of the hardware/ software/ Operating System /Middleware etc in case the Bank chooses not to upgrade to latest version.
- viii. Bidder shall provide maintenance support for Hardware/ Software/ Operating System/ Middleware over the entire period of contract.
- ix. All product updates, upgrades & patches shall be provided by the Bidder/ Service Provider free of cost during warranty and AMC/ ATS/ S&S period.
- x. Bidder shall provide legally valid Software Solution. The detailed information on license count and type of license shall also be provided to the Bank.
- xi. The Bidder shall keep the Bank explicitly informed the end of support dates on related products/hardware/firmware and should ensure support during warranty and AMC/ATS/S&S.

## **27. WARRANTY AND ANNUAL MAINTENANCE CONTRACT:**

- i. The selected Bidder shall support the Software Solution during the period of warranty and AMC (if included in purchase order) as specified in Scope of work in this RFP from the date of acceptance of the Software Solution by State Bank of India.
- ii. During the warranty and AMC period (if desired), the Bidder will have to undertake comprehensive support of the Software Solution supplied by the Bidder and all new versions, releases, and updates for all standard software to be supplied to the Bank at no additional cost . During the support period, the Bidder shall maintain the Software Solution to comply with parameters defined for acceptance criteria and the Bidder shall be responsible for all costs relating to labour, spares, maintenance (preventive and corrective), compliance of security requirements and transport charges from and to the Site (s) in connection with the repair/ replacement of the Software Solution, which, under normal and proper use and maintenance thereof, proves defective in design, material or workmanship or fails to conform to the specifications, as specified.
- iii. During the support period (warranty and AMC, if desired), Service Provider shall ensure that services of professionally qualified personnel are available for providing comprehensive on-site maintenance of the Software Solution and its components as per the

Bank's requirements. Comprehensive maintenance shall include, among other things, day to day maintenance of the Software Solution as per the Bank's policy, reloading of firmware/software, compliance to security requirements, etc. when required or in the event of system crash/malfunctioning, arranging and configuring facility as per the requirements of the Bank, fine tuning, system monitoring, log maintenance, etc. The Bidder shall provide services of an expert engineer at SBI GITC, Belapur or at other locations wherever required, whenever it is essential. In case of failure of Software Solution, the Bidder shall ensure that Software Solution is made operational to the full satisfaction of the Bank within the given timelines.

- iv. Warranty/ AMC (if opted) for the system software/ off-the shelf software will be provided to the Bank as per the general conditions of sale of such software.
- v. Support (Warranty/ AMC, if opted) would be on-site and comprehensive in nature and must have back to back support from the OEM/Service Provider. Service Provider will warrant products against defects arising out of faulty design etc. during the specified support period.
- vi. In the event of system break down or failures at any stage, protection available, which would include the following, shall be specified.
  - (a) Diagnostics for identification of systems failures
  - (b) Protection of data/ Configuration
  - (c) Recovery/ restart facility
  - (d) Backup of system software/ Configuration
- vii. Prompt support shall be made available as desired in this RFP during the support period at the locations as and when required by the Bank.
- viii. The Bidder shall be agreeable for on-call/on-site support during peak weeks (last and first week of each month) and at the time of switching over from PR to DR and vice-versa. No extra charge shall be paid by the Bank for such needs, if any, during the support period.
- ix. Bidder support staff should be well trained to effectively handle queries raised by the customers/employees of the Bank.
- x. Updated escalation matrix shall be made available to the Bank once in each quarter and each time the matrix gets changed.

## **28. PENALTIES:**

As mentioned in **Appendix-J** of this RFP.

## **29. RIGHT TO VERIFICATION:**

The Bank reserves the right to verify any or all of the statements made by the Bidder in the Bid document and to inspect the Bidder's facility, if necessary, to establish to its satisfaction about the Bidder's capacity/capabilities to perform the job.

### **30. INSPECTION AND TESTING:**

- i. The Bank reserves the right to carry out pre-shipment inspection or demand a demonstration of the product on a representative model at Service Provider's location.
- ii. The inspection and test prior to dispatch of the product/at the time of final acceptance would be as follows:
  - (a) Service Provider shall intimate the Bank before dispatching products for conducting inspection and testing.
  - (b) The inspection and acceptance test may also be conducted at the point of delivery and / or at the products' final destination. Reasonable facilities and assistance, including access to drawings and production data, shall be furnished to the inspectors, at no charge to the Bank. In case of failure by Service Provider to provide necessary facility / equipment at its premises, all the cost of such inspection like travel, boarding, lodging & other incidental expenses of the Bank's representatives to be borne by Service Provider.
- iii. The Bank's right to inspect, test the product/ solution after delivery of the same to the Bank and where necessary reject the products/solution which does not meet the specification provided by the Bank. This shall in no way be limited or waived by reason of the products/ solution having previously being inspected, tested and passed by the Bank or its representative prior to the products/ solution shipment from the place of origin by the Bank or its representative prior to the installation and commissioning.
- iv. Nothing stated hereinabove shall in any way release Service Provider from any warranty or other obligations under this contract.
- v. System integration testing and User Acceptance testing will be carried out as per requirement of the Bank.

### **31. RIGHT TO AUDIT:**

- i. The Selected Bidder (Service Provider) shall be subject to annual audit by internal/ external Auditors appointed by the Bank/ inspecting official from the Reserve Bank of India or any regulatory authority, covering the risk parameters finalized by the Bank/ such auditors in the areas of products (IT hardware/ Software) and services etc. provided to the Bank and Service Provider is required to submit such certification by such Auditors to the Bank. Service Provider and or his / their outsourced agents / sub – contractors (if allowed by the Bank) shall facilitate the same The Bank can make its expert assessment on the efficiency

and effectiveness of the security, control, risk management, governance system and process created by the Service Provider. The Service Provider shall, whenever required by the Auditors, furnish all relevant information, records/data to them. All costs for such audit shall be borne by the Bank. Except for the audit done by Reserve Bank of India or any statutory/regulatory authority, the Bank shall provide reasonable notice not less than 7 (seven) days to Service Provider before such audit and same shall be conducted during normal business hours.

- ii. Where any deficiency has been observed during audit of the Service Provider on the risk parameters finalized by the Bank or in the certification submitted by the Auditors, the Service Provider shall correct/resolve the same at the earliest and shall provide all necessary documents related to resolution thereof and the auditor shall further certify in respect of resolution of the deficiencies. The resolution provided by the Service Provider shall require to be certified by the Auditors covering the respective risk parameters against which such deficiencies have been observed.
- iii. Service Provider further agrees that whenever required by the Bank, it will furnish all relevant information, records/data to such auditors and/or inspecting officials of the Bank/Reserve Bank of India and/or any regulatory authority(ies). The Bank reserves the right to call for and/or retain any relevant information /audit reports on financial and security review with their findings undertaken by the Service Provider. However, Service Provider shall not be obligated to provide records/data not related to Services under the Agreement (e.g. internal cost breakup etc.).
- iv. Service provider shall grants unrestricted and effective access to a) data related to the outsourced activities; b) the relevant business premises of the service provider; subject to appropriate security protocols, for the purpose of effective oversight use by the Bank, their auditors, regulators and other relevant Competent Authorities, as authorised under law.

### **32. SUBCONTRACTING:**

As per scope of this RFP, sub-contracting is not permitted.

### **33. VALIDITY OF AGREEMENT:**

The Agreement/ SLA will be valid for the period of Six (6) years. The Bank reserves the right to terminate the Agreement as per the terms of RFP/ Agreement.

### **34. LIMITATION OF LIABILITY:**

- i. The maximum aggregate liability of Service Provider, subject to below mentioned sub-clause (iii), in respect of any claims, losses, costs or damages arising out of or in connection with this RFP/Agreement shall not exceed the total Project Cost.
- ii. Under no circumstances shall either Party be liable for any indirect, consequential or incidental losses, damages or claims including loss of profit, loss of business or revenue.
- iii. The limitations set forth herein shall not apply with respect to:
  - a) claims that are the subject of indemnification pursuant to infringement of third party Intellectual Property Right;
  - b) damage(s) occasioned by the Gross Negligence or Willful Misconduct of Service Provider,
  - c) damage(s) occasioned by Service Provider for breach of Confidentiality Obligations,
  - d) Regulatory or statutory fines imposed by a Government or Regulatory agency for non-compliance of statutory or regulatory guidelines applicable to the Bank, provided such guidelines were brought to the notice of Service Provider.

For the purpose of abovementioned sub-clause (iii)(b) **“Gross Negligence” means** any act or failure to act by a party which was in reckless disregard of or gross indifference to the obligation of the party under this Agreement and which causes injury, damage to life, personal safety, real property, harmful consequences to the other party, which such party knew, or would have known if it was acting as a reasonable person, would result from such act or failure to act for which such Party is legally liable. Notwithstanding the forgoing, Gross Negligence shall not include any action taken in good faith.

**“Willful Misconduct” means** any act or failure to act with an intentional disregard of any provision of this Agreement, 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.

### **35. CONFIDENTIALITY:**

Confidentiality obligation shall be as per Non-disclosure agreement and clause 15 of Service Level Agreement placed as Appendix to this RFP.

### **36. DELAY IN SERVICE PROVIDER’S PERFORMANCE:**

- i. Delivery, installation, commissioning of the Software Solution and performance of Services shall be made by Service Provider within the timelines prescribed in Part II of this RFP.
- ii. If at any time during performance of the Contract, Service Provider should encounter conditions impeding timely delivery of the Software Solution and performance of Services,

Service Provider shall promptly notify the Bank in writing of the fact of the delay, its likely duration and cause(s). As soon as practicable after receipt of Service Provider's notice, the Bank shall evaluate the situation and may, at its discretion, extend Service Providers' time for performance, in which case, the extension shall be ratified by the parties by amendment of the Contract.

- iii. Any delay in performing the obligation/ defect in performance by Service Provider may result in imposition of penalty, liquidated damages, invocation of Bank Guarantee and/or termination of Contract (as laid down elsewhere in this RFP document).

### **37. SERVICE PROVIDER'S OBLIGATIONS:**

- i. Service Provider is responsible for and obliged to conduct all contracted activities in accordance with the Contract using state-of-the-art methods and economic principles and exercising all means available to achieve the performance specified in the Contract.
- ii. Service Provider is obliged to work closely with the Bank's staff, act within its own authority and abide by directives issued by the Bank from time to time and complete implementation activities.
- iii. Service Provider will abide by the job safety measures prevalent in India and will free the Bank from all demands or responsibilities arising from accidents or loss of life, the cause of which is Service Provider's negligence. Service Provider will pay all indemnities arising from such incidents and will not hold the Bank responsible or obligated.
- iv. Service Provider is responsible for activities of its personnel or sub-contracted personnel (where permitted) and will hold itself responsible for any misdemeanors.
- v. Service Provider shall treat as confidential all data and information about the Bank, obtained in the process of executing its responsibilities, in strict confidence and will not reveal such information to any other party without prior written approval of the Bank as explained under 'Non-Disclosure Agreement' in **Appendix-L** of this RFP.
- vi. Service Provider shall report the incidents, including cyber incidents and those resulting in disruption of service and data loss/ leakage immediately but not later than one hour of detection.
- vii. The Service Provider shall execute Data Processing Agreement on the format attached as Appendix-Q to this RFP.
- viii. Service Provider shall abide by the provisions of the DPDP Act, 2023 - 11th August, 2023; CG-DL-E-12082023-248045 as and when the relevant rules and guidelines come into force.

### **38. TECHNICAL DOCUMENTATION:**

- i. Service Provider shall deliver the following documents to the Bank for every software including third party software before software/ service become operational, which includes, user manuals, installation manuals, operation manuals, design documents, process documents, technical manuals, functional specification, software requirement specification, on-line tutorials/ CBTs, system configuration documents, system/database administrative documents, debugging/diagnostics documents, test procedures etc.
- ii. Service Provider shall also provide documents related to Review Records/ Test Bug Reports/ Root Cause Analysis Report, list of all Product components, list of all dependent/external modules and list of all documents relating to traceability of the Software Solution as and when applicable.
- iii. Service Provider shall also provide the MIS reports, data flow documents, data register and data dictionary as per requirements of the Bank. Any level/ version changes and/or clarification or corrections or modifications in the above-mentioned documentation should be supplied by Service Provider to the Bank, free of cost in timely manner.

### **39. INTELLECTUAL PROPERTY RIGHTS AND OWNERSHIP:**

- i. For any technology / Software / solution developed/used/supplied by Service Provider for performing Services or licensing and implementing Software and solution for the Bank as part of this RFP, Service Provider shall have right to use as well right to license for the outsourced services or third party product. The Bank shall not be liable for any license or IPR violation on the part of Service provider.
- ii. Without the Bank's prior written approval, Service provider will not, in performing the Services, use or incorporate, link to or call or depend in any way upon, any software or other intellectual property that is subject to an Open Source or Copy-left license or any other agreement that may give rise to any third-party claims or to limit the Bank's rights under this RFP.
- iii. Subject to below mentioned sub-clause (iv) and (v) of this RFP, Service Provider shall, at its own expenses without any limitation, indemnify and keep fully and effectively indemnified the Bank against all cost, claims, damages, demands, expenses and liabilities whatsoever nature arising out of or in connection with all claims of infringement of Intellectual Property Right, including patent, trademark, copyright, trade secret or industrial design rights of any third party arising from use of the technology / Software / products or any part thereof in India or abroad, for Software licensed/developed as part of this engagement. In case of violation/ infringement of patent/ trademark/ copyright/ trade secret or industrial design or any other Intellectual Property Right of third party, Service Provider

shall, after due inspection and testing, without any additional cost (a) procure for the Bank the right to continue to using the Software supplied; or (b) replace or modify the Software to make it non-infringing so long as the replacement to or modification of Software provide substantially equivalent functional, performance and operational features as the infringing Software which is being replaced or modified; or (c) to the extent that the activities under clauses (a) and (b) above are not commercially reasonable, refund to the Bank all amounts paid by the Bank to Service Provider under this RFP/Agreement.

- iv. The Bank will give (a) notice to Service provider of any such claim without delay/provide reasonable assistance to Service provider in disposing of the claim; (b) sole authority to defend and settle such claim and; (c) will at no time admit to any liability for or express any intent to settle the claim provided that (i) Service Provider shall not partially settle any such claim without the written consent of the Bank, unless such settlement releases the Bank fully from such claim, (ii) Service Provider shall promptly provide the Bank with copies of all pleadings or similar documents relating to any such claim, (iii) Service Provider shall consult with the Bank with respect to the defense and settlement of any such claim, and (iv) in any litigation to which the Bank is also a party, the Bank shall be entitled to be separately represented at its own expenses by counsel of its own selection.
- v. Service Provider shall have no obligations with respect to any infringement claims to the extent that the infringement claim arises or results from: (i) Service Provider's compliance with the Bank's specific technical designs or instructions (except where Service Provider knew or should have known that such compliance was likely to result in an infringement claim and Service Provider did not inform the Bank of the same); (ii) any unauthorized modification or alteration of the Software by the Bank or its employee; (iii) failure to implement an update to the licensed software that would have avoided the infringement, provided Service Provider has notified the Bank in writing that use of the update would have avoided the claim.
- vi. Service Provider shall grant the Bank a fully paid-up, irrevocable, exclusive, unlimited, perpetual license throughout the territory of India or abroad to access, replicate and use software provided by Service Provider, including all inventions, designs and marks embodied therein perpetually. The source code /object code /executable code and compilation procedures of the Software Solution supplied or made under this agreement are the proprietary property of the Bank and as such Service Provider shall make them available to the Bank after successful User Acceptance Testing. Service Provider agrees that the Bank owns the entire right, title and interest to any inventions, designs, discoveries, writings and works of authorship, including all Intellectual Property Rights, copyrights. Any work made under this agreement shall be deemed to be 'work made for hire' under any Indian/U.S. or any other applicable copyright laws.

**40. LIQUIDATED DAMAGES:**

If the Service Provider fails to deliver product and/or perform any or all the Services within the stipulated time, schedule as specified in this RFP/Agreement, the Bank may, without prejudice to its other remedies under the RFP/Agreement, and unless otherwise extension of time is agreed upon without the application of liquidated damages, deduct from the Project Cost, as liquidated damages a sum equivalent to 0.5% of total Project Cost for delay of each week or part thereof maximum up to 5% of total Project Cost. Once the maximum deduction is reached, the Bank may consider termination of the Agreement.

#### **41. CONFLICT OF INTEREST:**

- i. Bidder shall not have a conflict of interest (the “Conflict of Interest”) that affects the bidding Process. Any Bidder found to have a Conflict of Interest shall be disqualified. In the event of disqualification, the Bank shall be entitled to forfeit and appropriate the Bid Security and/or Performance Security (Bank Guarantee), as the case may be, as mutually agreed upon genuine estimated loss and damage likely to be suffered and incurred by the Bank and not by way of penalty for, inter alia, the time, cost and effort of the Bank, including consideration of such Bidder’s proposal (the “Damages”), without prejudice to any other right or remedy that may be available to the Bank under the bidding Documents and/ or the Agreement or otherwise.
- ii. Without limiting the generality of the above, a Bidder shall be deemed to have a Conflict of Interest affecting the bidding Process, if:
  - (a) the Bidder, its Member or Associate (or any constituent thereof) and any other Bidder, its Member or any Associate thereof (or any constituent thereof) have common controlling shareholders or other ownership interest; provided that this disqualification shall not apply in cases where the direct or indirect shareholding of a Bidder, its Member or an Associate thereof (or any shareholder thereof having a shareholding of more than 5% (five per cent) of the paid up and subscribed share capital of such Bidder, Member or Associate, as the case may be) in the other Bidder, its Member or Associate, has less than 5% (five per cent) of the subscribed and paid up equity share capital thereof; provided further that this disqualification shall not apply to any ownership by a bank, insurance company, pension fund or a public financial institution referred to in section 2(72) of the Companies Act, 2013. For the purposes of this Clause, indirect shareholding held through one or more intermediate persons shall be computed as follows: (aa) where any intermediary is controlled by a person through management control or otherwise, the entire shareholding held by such controlled intermediary in any other person (the “Subject Person”) shall be taken into account for computing the shareholding of such controlling person in the Subject Person; and (bb) subject always to sub-clause (aa) above, where a person does not exercise control over an intermediary, which has shareholding in the Subject Person, the computation of indirect shareholding of such person in the Subject Person shall be undertaken on a proportionate basis; provided,

however, that no such shareholding shall be reckoned under this sub-clause (bb) if the shareholding of such person in the intermediary is less than 26% of the subscribed and paid up equity shareholding of such intermediary; or

(b) a constituent of such Bidder is also a constituent of another Bidder; or

(c) such Bidder, its Member or any Associate thereof receives or has received any direct or indirect subsidy, grant, concessional loan or subordinated debt from any other Bidder, its Member or Associate, or has provided any such subsidy, grant, concessional loan or subordinated debt to any other Bidder, its Member or any Associate thereof; or

(d) such Bidder has the same legal representative for purposes of this Bid as any other Bidder; or

(e) such Bidder, or any Associate thereof, has a relationship with another Bidder, or any Associate thereof, directly or through common third party/ parties, that puts either or both of them in a position to have access to each other's information about, or to influence the Bid of either or each other; or

(f) such Bidder or any of its affiliates thereof has participated as a consultant to the Bank in the preparation of any documents, design or technical specifications of the RFP.

iii. For the purposes of this RFP, Associate means, in relation to the Bidder, a person who controls, is controlled by, or is under the common control with such Bidder (the "Associate"). As used in this definition, the expression "control" means, with respect to a person which is a company or corporation, the ownership, directly or indirectly, of more than 50% (fifty per cent) of the voting shares of such person, and with respect to a person which is not a company or corporation, the power to direct the management and policies of such person by operation of law or by contract.

#### **42. CODE OF INTEGRITY AND DEBARMENT/BANNING:**

i. The Bidder and their respective officers, employees, agents and advisers shall observe the highest standard of ethics during the bidding Process. Notwithstanding anything to the contrary contained herein, the Bank shall reject Bid without being liable in any manner whatsoever to the Bidder if it determines that the Bidder has, directly or indirectly or through an agent, engaged in corrupt/fraudulent/coercive/undesirable or restrictive practices in the bidding Process.

ii. Bidders are obliged under code of integrity to Suo-moto proactively declare any conflicts of interest (pre-existing or as and as soon as these arise at any stage) in RFP process or execution of contract. Failure to do so would amount to violation of this code of integrity.

iii. Any Bidder needs to declare any previous transgressions of such a code of integrity with any entity in any country during the last three years or of being debarred by any other procuring entity. Failure to do so would amount to violation of this code of integrity.

iv. For the purposes of this clause, the following terms shall have the meaning hereinafter, respectively assigned to them:

- (a) **“corrupt practice”** means making offers, solicitation or acceptance of bribe, rewards or gifts or any material benefit, in exchange for an unfair advantage in the procurement process or to otherwise influence the procurement process or contract execution;
- (b) **“Fraudulent practice”** means any omission or misrepresentation that may mislead or attempt to mislead so that financial or other benefits may be obtained or an obligation avoided. This includes making false declaration or providing false information for participation in a RFP process or to secure a contract or in execution of the contract;
- (c) **“Coercive practice”** means harming or threatening to harm, persons or their property to influence their participation in the procurement process or affect the execution of a contract;
- (d) **“Anti-competitive practice”** means any collusion, bid rigging or anti-competitive arrangement, or any other practice coming under the purview of the Competition Act, 2002, between two or more bidders, with or without the knowledge of the Bank, that may impair the transparency, fairness and the progress of the procurement process or to establish bid prices at artificial, non-competitive levels;
- (e) **“Obstructive practice”** means materially impede the Bank’s or Government agencies investigation into allegations of one or more of the above mentioned prohibited practices either by deliberately destroying, falsifying, altering; or by concealing of evidence material to the investigation; or by making false statements to investigators and/or by threatening, harassing or intimidating any party to prevent it from disclosing its knowledge of matters relevant to the investigation or from pursuing the investigation; or by impeding the Bank’s rights of audit or access to information;

**v. Debarment/Banning**

Empanelment/participation of Bidders and their eligibility to participate in the Bank’s procurements is subject to compliance with code of integrity and performance in contracts as per terms and conditions of contracts. Following grades of debarment from empanelment/participation in the Bank’s procurement process shall be considered against delinquent Vendors/Bidders:

(a) **Holiday Listing (Temporary Debarment - suspension):**

Whenever a Vendor is found lacking in performance, in case of less frequent and less serious misdemeanors, the vendors may be put on a holiday listing (temporary debarment)

for a period upto 12 (twelve) months. When a Vendor is on the holiday listing, he is neither invited to bid nor are his bids considered for evaluation during the period of the holiday. The Vendor is, however, not removed from the list of empaneled vendors, if any. Performance issues which may justify holiday listing of the Vendor are:

- Vendors who have not responded to requests for quotation/tenders consecutively three times without furnishing valid reasons, if mandated in the empanelment contract (if applicable);
- Repeated non-performance or performance below specified standards (including after sales services and maintenance services etc.);
- Vendors undergoing process for removal from empanelment/participation in procurement process or banning/debarment may also be put on a holiday listing during such proceedings.

**(b) Debarment from participation including removal from empaneled list**

Debarment of a delinquent Vendor (including their related entities) for a period (one to two years) from the Bank's procurements including removal from empanelment, wherever such Vendor is empaneled, due to severe deficiencies in performance or other serious transgressions. Reasons which may justify debarment and/or removal of the Vendor from the list of empaneled vendors are:

- Without prejudice to the rights of the Bank under Clause 42 " *CODE OF INTEGRITY AND DEBARMENT/BANNING " sub-clause (i)* hereinabove, if a Bidder is found by the Bank to have directly or indirectly or through an agent, engaged or indulged in any corrupt/fraudulent/coercive/undesirable or restrictive practices during the bidding Process, such Bidder shall not be eligible to participate in any EOI/RFP issued by the Bank during a period of 2 (two) years from the date of debarment.
- Vendor fails to abide by the terms and conditions or to maintain the required technical/operational staff/equipment or there is change in its production/service line affecting its performance adversely, or fails to cooperate or qualify in the review for empanelment;
- If Vendor ceases to exist or ceases to operate in the category of requirements for which it is empaneled;
- Bankruptcy or insolvency on the part of the vendor as declared by a court of law; or
- Banning by Ministry/Department or any other Government agency;
- Other than in situations of force majeure, technically qualified Bidder withdraws from the procurement process or after being declared as successful bidder: (i) withdraws from the process; (ii) fails to enter into a Contract; or (iii) fails to provide performance guarantee or any other document or security required in terms of the RFP documents;

- If the Central Bureau of Investigation/CVC/C&AG or Vigilance Department of the Bank or any other investigating agency recommends such a course in respect of a case under investigation;
- Employs a Government servant or the Bank's Officer within two years of his retirement, who has had business dealings with him in an official capacity before retirement; or
- Any other ground, based on which the Bank considers, that continuation of Contract is not in public interest.
- If there is strong justification for believing that the partners/directors/proprietor/agents of the firm/company has been guilty of violation of the code of integrity or Integrity Pact (wherever applicable), evasion or habitual default in payment of any tax levied by law; etc.

**(c) Banning from Ministry/Country-wide procurements**

For serious transgression of code of integrity, a delinquent Vendor (including their related entities) may be banned/debarred from participation in a procurement process of the Bank including procurement process of any procuring entity of Government of India for a period not exceeding three years commencing from the date of debarment.

**43. TERMINATION FOR DEFAULT:**

- i. The Bank may, without prejudice to any other remedy for breach of Agreement, written notice of not less than 30 (thirty) days, terminate the Agreement in whole or in part:
  - (a) If the Service Provider fails to deliver any or all the obligations within the time period specified in the RFP/Agreement, or any extension thereof granted by the Bank;
  - (b) If the Service Provider fails to perform any other obligation(s) under the RFP/Agreement;
  - (c) Violations of any terms and conditions stipulated in the RFP;
  - (d) On happening of any termination event mentioned in the RFP/Agreement.

Prior to providing a written notice of termination to Service Provider under abovementioned sub-clause (i) (a) to (c), the Bank shall provide Service Provider with a written notice of 30 (thirty) days to cure such breach of the Agreement. If the breach continues or remains unrectified after expiry of cure period, the Bank shall have right to initiate action in accordance with above clause.

- ii. In the event the Bank terminates the Contract in whole or in part for the breaches attributable to Service Provider, the Bank may procure, upon such terms and in such manner as it deems appropriate, software and Services similar to those undelivered, and subject to limitation of liability clause of this RFP Service Provider shall be liable to the Bank for any increase in cost for such similar Software Solution and/or Services. However, Service Provider shall continue performance of the Contract to the extent not terminated.

- iii. If the Contract is terminated under any termination clause, Service Provider shall handover all documents/ executable/ Bank's data or any other relevant information to the Bank in timely manner and in proper format as per scope of this RFP and shall also support the orderly transition to another vendor or to the Bank.
- iv. During the transition, Service Provider shall also support the Bank on technical queries/support on process implementation or in case of software provision for future upgrades.
- v. The Bank's right to terminate the Contract will be in addition to the penalties / liquidated damages and other actions as specified in this RFP.
- vi. In the event of failure of the Service Provider to render the Services or in the event of termination of Agreement or expiry of term or otherwise, without prejudice to any other right, the Bank at its sole discretion may make alternate arrangement for getting the Services contracted with another vendor. In such case, the Bank shall give prior notice to the existing Service Provider. The existing Service Provider shall continue to provide services as per the terms of the Agreement until a 'New Service Provider' completely takes over the work. During the transition phase, the existing Service Provider shall render all reasonable assistance to the new Service Provider within such period prescribed by the Bank, at no extra cost to the Bank, for ensuring smooth switch over and continuity of services, provided where transition services are required by the Bank or New Service Provider beyond the term of this Agreement, reasons for which are not attributable to Service Provider, payment shall be made to Service Provider for such additional period on the same rates and payment terms as specified in this Agreement. If existing Service Provider is breach of this obligation, they shall be liable for paying a penalty of 10% of the total Project Cost on demand to the Bank, which may be settled from the payment of invoices or Bank Guarantee for the contracted period or by invocation of Bank Guarantee.

#### **44. FORCE MAJEURE:**

- i. Notwithstanding the provisions of terms and conditions contained in this RFP, neither party shall be liable for any delay in performing its obligations herein if and to the extent that such delay is the result of an event of Force Majeure.
- ii. For the purposes of this clause, 'Force Majeure' means and includes wars, insurrections, revolution, civil disturbance, riots, terrorist acts, public strikes, hartal, bundh, fires, floods, epidemic, quarantine restrictions, freight embargoes, declared general strikes in relevant industries, Vis Major, acts of Government in their sovereign capacity, impeding reasonable performance of Service Provider and / or Sub-Contractor but does not include any foreseeable events, commercial considerations or those involving fault or negligence on the part of the party claiming Force Majeure.

- iii. If a Force Majeure situation arises, Service Provider shall promptly notify the Bank in writing of such condition and the cause thereof. Unless otherwise directed by the Bank in writing, Service Provider shall continue to perform its obligations under the Contract as far as is reasonably practical, and shall seek all reasonable alternative means for performance not prevented by the Force Majeure event.
- iv. If the Force Majeure situation continues beyond 30 (thirty) days, either party shall have the right to terminate the Agreement by giving a notice to the other party. Neither party shall have any penal liability to the other in respect of the termination of the Agreement as a result of an event of Force Majeure. However, Service Provider shall be entitled to receive payments for all services actually rendered up to the date of the termination of the Agreement.

#### **45. TERMINATION FOR INSOLVENCY:**

The Bank may, at any time, terminate the Contract by giving written notice to Service Provider, if Service Provider becomes Bankrupt or insolvent or any application for bankruptcy, insolvency or winding up has been filed against it by any person. In this event, termination will be without compensation to Service Provider, 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.

#### **46. TERMINATION FOR CONVENIENCE:**

- i. The Bank, by written notice of not less than 90 (ninety) days, may terminate the Contract, in whole or in part, for its convenience, provided same shall not be invoked by the Bank before completion of half of the total Contract period (including the notice period).
- ii. In the event of termination of the Agreement for the Bank's convenience, Service Provider shall be entitled to receive payment for the Services rendered (delivered) up to the effective date of termination.

#### **47. DISPUTES RESOLUTION:**

- i. All disputes or differences whatsoever arising between the parties out of or in connection with the RFP and Contract thereto (including dispute concerning interpretation) or in discharge of any obligation arising out of the RFP and Contract thereto (whether during the progress of work or after completion of such work and whether before or after the termination of the Contract, abandonment or breach of the Contract), shall be settled amicably. If however, the parties are not able to solve them amicably within 30 (thirty) days after dispute occurs as evidenced through the first written communication from any Party notifying the other regarding the disputes, the same shall be referred to and be subject to

the jurisdiction of competent courts at Mumbai. The competent courts in Mumbai shall have exclusive jurisdiction in this regard.

- ii. Service Provider shall continue work under the Contract during the resolution proceedings unless otherwise directed by the Bank or unless the matter is such that the work cannot possibly be continued until the decision of the competent court is obtained.

#### 48. GOVERNING LANGUAGE:

The governing language shall be English.

#### 49. APPLICABLE LAW:

The Contract shall be interpreted in accordance with the laws of the Union of India .

#### 50. TAXES AND DUTIES:

- i. Service Provider shall be liable to pay all corporate taxes and income tax that shall be levied according to the laws and regulations applicable from time to time in India and the price Bid by Service Provider shall include all such taxes in the quoted price.
  - ii. Prices quoted should be exclusive of GST. All other present and future tax /duties, if any applicable and also cost of incidental services such as transportation, road permits, insurance etc. should be included in the price quoted. The quoted prices and taxes/duties and statutory levies such as GST etc. should be specified in the separate sheet (**Appendix-F**).
- iii. Custom duty as also cost of incidental services such as transportation, road permits, insurance etc. in connection with delivery of products at site including any incidental services and commissioning, if any, which may be levied, shall be borne by Service Provider and the Bank shall not be liable for the same. Only specified taxes/ levies and duties in the **Appendix-F** will be payable by the Bank on actuals upon production of original receipt wherever required. If any specified taxes/ levies and duties in **Appendix-F** are replaced by the new legislation of Government, same shall be borne by the Bank. The Bank shall not be liable for payment of those Central / State Government taxes, levies, duties or any tax/ duties imposed by local bodies/ authorities, which are not specified by the Bidder in **Appendix-F**
- iv. Prices payable to Service Provider as stated in the Contract shall be firm and not subject to adjustment during performance of the Contract, irrespective of reasons whatsoever, including exchange rate fluctuations, any upward revision in Custom duty.

- v. Income / Corporate Taxes in India: The Bidder shall be liable to pay all corporate taxes and income tax that shall be levied according to the laws and regulations applicable from time to time in India and the price Bid by the Bidder shall include all such taxes in the contract price.
- vi. Parties shall fulfil all their respective compliance requirements under the GST law. This shall include (but not be limited to):
- (a) Bank shall pay GST amount after verifying the details of invoice on GSTR 2B on GSTN portal.
  - (b) In case any credit, refund or other benefit is denied or delayed to the Bank due to any non-compliance of GST Laws by the vendor including but not limited to, failure to upload the details of invoice or any other details of the supply of goods or services, as the case may be, as required under GST Law on the appropriate government's goods and services tax network portal, the failure to pay applicable GST to the Government or due to non-furnishing or furnishing of incorrect or incomplete documents by the party, vendor would reimburse the loss to the Bank including, but not limited to, any tax loss or denial of credit, interest and penalty and reasonable fee for contesting the demand. Amount payable under this clause shall survive irrespective of termination of agreement if the demand pertains to the agreement period.
  - (c) In case of any tax demand or denial of ITC or refund or any other benefit by the GST authorities, both the parties may mutually decide whether to contest the matter. In case, it is decided to contest the matter, the vendor is required to deposit the disputed demand including interest and penalty proposed with the other party without waiting for the outcome of the legal proceeding. In case the matter is finally decided in favour of the other party, the other party is required to refund the amount received from the defaulting party without any interest.
- vii. All expenses, stamp duty and other charges/ expenses in connection with the execution of the Agreement as a result of this RFP process shall be borne by Service Provider. The Agreement/ Contract would be stamped as per Maharashtra Stamp Act, 1958 and any amendment thereto.

#### **51. TAX DEDUCTION AT SOURCE:**

- i. Wherever the laws and regulations require deduction of such taxes at the source of payment, the Bank shall effect such deductions from the payment due to Service Provider. The remittance of amounts so deducted and issuance of certificate for such deductions shall be made by the Bank as per the laws and regulations for the time being in force. Nothing in the Contract shall relieve Service Provider from his responsibility to pay any tax that may

be levied in India on income and profits made by Service Provider in respect of this Contract.

- ii. Service Provider's staff, personnel and labour will be liable to pay personal income taxes in India in respect of such of their salaries and wages as are chargeable under the laws and regulations for the time being in force, and Service Provider shall perform such duties in regard to such deductions thereof as may be imposed on him by such laws and regulations.
- iii. Bank will deduct TDS at applicable rate while making payment under GST Act 2017 and Income Tax Act 1961.

## **52. TENDER FEE:**

Non-refundable Tender Fee should be directly credited to the designated account as mentioned in Schedule of Events. Proof of remittance of Tender Fee in the designated account should be enclosed with the technical bid. The Bids without tender fee will not be considered valid.

## **53. EXEMPTION OF EMD AND TENDER FEE:**

Micro & Small Enterprises (MSE) units and Start-ups\* are exempted from payment of EMD and tender fee provided the products and/or services they are offering, are manufactured and/or services rendered by them. Exemption as stated above is not applicable for selling products and/or services, manufactured/ rendered by other companies.

Bidder should submit supporting documents issued by competent Govt. bodies to become eligible for the above exemption.

### **Bidders may please note:**

- i. NSIC certificate/ Udyog Aadhar Memorandum/Udyam Registration Certificate should cover the items tendered to get EMD/tender fee exemptions. Certificate/ Memorandum should be valid as on due date / extended due date for Bid submission.
- ii. "Start-up" company should enclose the valid Certificate of Recognition issued by Department for Promotion of Industry and Internal Trade (DPIIT), (erstwhile Department of Industrial Policy and Promotion), Ministry of Commerce & Industry, Govt. of India with the technical bid.
- iii. \*Start-ups which are not under the category of MSE shall not be eligible for exemption of tender fee.

- iv. Bidder who solely on its own, fulfils each eligibility criteria condition as per the RFP terms and conditions and who are having MSE or Start-up company status, can claim exemption for EMD/ tender fee.
- v. If all these conditions are not fulfilled or supporting documents are not submitted with the technical Bid, then all those Bids without tender fees /EMD will be summarily rejected and no queries will be entertained.

**54. NOTICES:**

Any notice given by one party to the other pursuant to this Contract shall be sent to other party in writing or by Fax and confirmed in writing to other Party's address. The notice shall be effective when delivered or on the notice's effective date whichever is later.

## **Part-II**

**BID FORM (TECHNICAL BID)**

[On Company's letter head]  
(To be included in Technical Bid)

Date: \_\_\_\_\_

To:

< Address of tendering office >

Dear Sir,

**Ref: RFP No. SBI/CC/BRNWM/QMS/2023-24/001 dated 22/03/2024**

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We have examined the above RFP, the receipt of which is hereby duly acknowledged and subsequent pre-bid clarifications/ modifications / revisions, if any, furnished by the Bank and we offer to supply, Install, test, commission and support the desired Software Solution detailed in this RFP. We shall abide by the terms and conditions spelt out in the RFP. We shall participate and submit the commercial Bid through online auction to be conducted by the Bank's authorized service provider, on the date advised to us.

i. While submitting this Bid, we certify that:

- The undersigned is authorized to sign on behalf of the Bidder and the necessary support document delegating this authority is enclosed to this letter.
- We declare that we are not in contravention of conflict of interest obligation mentioned in this RFP.
- Indicative prices submitted by us have been arrived at without agreement with any other Bidder of this RFP for the purpose of restricting competition.
- The indicative prices submitted by us have not been disclosed and will not be disclosed to any other Bidder responding to this RFP.
- We have not induced or attempted to induce any other Bidder to submit or not to submit a Bid for restricting competition.
- We have quoted for all the products/services mentioned in this RFP in our indicative price Bid.
- The rate quoted in the indicative price Bids are as per the RFP and subsequent pre-Bid clarifications/ modifications/ revisions furnished by the Bank, without any exception.

ii. We undertake that, in competing for (and, if the award is made to us, in executing) the above contract, we will strictly observe the laws against fraud and corruption in force in India namely "Prevention of Corruption Act 1988".

- iii. We undertake that we will not offer, directly or through intermediaries, any bribe, gift, consideration, reward, favour, any material or immaterial benefit or other advantage, commission, fees, brokerage or inducement to any official of the Bank, connected directly or indirectly with the bidding process, or to any person, organisation or third party related to the contract in exchange for any advantage in the bidding, evaluation, contracting and implementation of the contract.
- iv. We undertake that we will not resort to canvassing with any official of the Bank, connected directly or indirectly with the bidding process to derive any undue advantage. We also understand that any violation in this regard, will result in disqualification of bidder from further bidding process.
- v. It is further certified that the contents of our Bid are factually correct. We have not sought any deviation to the terms and conditions of the RFP. We also accept that in the event of any information / data / particulars proving to be incorrect, the Bank will have right to disqualify us from the RFP without prejudice to any other rights available to the Bank.
- vi. We certify that while submitting our Bid document, we have not made any changes in the contents of the RFP document, read with its amendments/clarifications provided by the Bank.
- vii. We agree to abide by all the RFP terms and conditions, contents of Service Level Agreement as per template available at **Appendix-K** of this RFP and the rates quoted therein for the orders awarded by the Bank up to the period prescribed in the RFP, which shall remain binding upon us.
- viii. On acceptance of our technical bid, we undertake to participate in Reverse auction by way of login in Reverse auction tool. In case of declaration as successful Vendor on completion of Reverse auction process, we undertake to complete the formalities as specified in this RFP.
- ix. The commercial bidding process will be through the reverse auction process to be conducted by the Bank or a company authorized by the Bank. We understand that our authorized representative who would participate in the reverse auction process would be possessing a valid digital certificate for the purpose.
- x. Till execution of a formal contract, the RFP, along with the Bank's notification of award by way of issuance of purchase order and our acceptance thereof, would be binding contractual obligation on the Bank and us.
- xi. We understand that you are not bound to accept the lowest or any Bid you may receive and you may reject all or any Bid without assigning any reason or giving any explanation whatsoever.
- xii. We hereby certify that our name does not appear in any "Caution" list of RBI / IBA or any other regulatory body for outsourcing activity.
- xiii. We hereby certify that on the date of submission of Bid for this RFP, we **do not have any past/present litigation which adversely affect our participation in this RFP or we** are not under any debarment/blacklist period for breach of contract/fraud/corrupt practices by any Scheduled

Commercial Bank/ Public Sector Undertaking/ State or Central Government or their agencies/departments. We also certify that we have not been disqualified / debarred / terminated on account of poor or unsatisfactory performance and/or blacklisted by any Scheduled Commercial Bank / Public Sector Undertaking / State or Central Government or their Agencies / Departments at any time, during the last 3 years.

- xiv. We hereby certify that we (participating in RFP as OEM)/ our OEM have a support center and level 3 escalation (highest) located in India.
- xv. We hereby certify that on the date of submission of Bid, we do not have any Service Level Agreement pending to be signed with the Bank for more than 6 months from the date of issue of purchase order.
- xvi. We hereby certify that we have read the clauses contained in O.M. No. 6/18/2019-PPD, dated 23.07.2020 order (Public Procurement No. 1), order (Public Procurement No. 2) dated 23.07.2020 and order (Public Procurement No. 3) dated 24.07.2020 along with subsequent Orders and its amendment thereto regarding restrictions on procurement from a bidder of a country which shares a land border with India. We further certify that we and our OEM are not from such a country or if from a country, has been registered with competent authority (where applicable evidence of valid certificate to be attached). We certify that we and our OEM fulfil all the requirements in this regard and are eligible to participate in this RFP.
- xvii. If our Bid is accepted, we undertake to enter into and execute at our cost, when called upon by the Bank to do so, a contract in the prescribed form and we shall be solely responsible for the due performance of the contract.
- xviii. We, further, hereby undertake and agree to abide by all the terms and conditions stipulated by the Bank in the RFP document.

Dated this ..... day of ..... 20..

\_\_\_\_\_  
(Signature)

\_\_\_\_\_  
(Name)

(In the capacity of)

Duly authorised to sign Bid for and on behalf of

\_\_\_\_\_  
**Seal of the company.**

## Appendix-B

**Bidder's Eligibility Criteria**

Bidders meeting the following criteria are eligible to submit their Bids along with supporting documents. If the Bid is not accompanied by all the required documents supporting eligibility criteria, the same would be rejected:

| S. No. | Eligibility Criteria                                                                                                                                                                                                                                                     | Compliance (Yes/No) | Documents to be submitted                                                                                                                                                  |
|--------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1.     | The Bidder must be an Indian Company/ LLP /Partnership firm registered under applicable Act in India.                                                                                                                                                                    |                     | Certificate of Incorporation issued by Registrar of Companies and full address of the registered office along with Memorandum & Articles of Association/ Partnership Deed. |
| 2.     | The Bidder (including its OEM, if any) must comply with the requirements contained in O.M. No. 6/18/2019-PPD, dated 23.07.2020 order (Public Procurement No. 1), order (Public Procurement No. 2) dated 23.07.2020 and order (Public Procurement No. 3) dated 24.07.2020 |                     | Bidder should specifically certify in <b>Appendix-A</b> in this regard and provide copy of registration certificate issued by competent authority wherever applicable.     |
| 3.     | The Bidder must have an average turnover of minimum Rs. 15.00 crore during last 03 (three) financial year(s) i.e. FY 2022-23, FY 2021-22 and FY 2020-21.                                                                                                                 |                     | Copy of the audited financial statement for required financial years. (Certificate from statutory auditor for preceding/current FY 2023-24 year may be submitted.)         |
| 4.     | The Bidder should be profitable organization on the basis of profit before tax (PBT) for at least 02 (two) out of last 03 (three) financial years mentioned in para 3 above.                                                                                             |                     | Copy of the audited financial statement along with profit and loss statement for corresponding years and / or Certificate of the statutory auditor.                        |
| 5      | Bidder should have experience of minimum 5 years in providing the Software Solution/services.                                                                                                                                                                            |                     | Copy of the order and / or Certificate of completion of the work. The Bidder should also furnish user acceptance report.                                                   |
| 6.     | The Bidder (including its OEM, if any) should either be Class-I or                                                                                                                                                                                                       |                     | Certificate of local content to be submitted as per <b>Appendix-G</b> .                                                                                                    |

|    |                                                                                                                                                                                                                                                       |  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
|----|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|    | Class-II local supplier as defined under this RFP.                                                                                                                                                                                                    |  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| 7. | Client references and contact details (email/ landline/ mobile) of customers for whom the Bidder has executed similar projects in India. (Start and End Date of the Project to be mentioned) in the past (At least __ client references are required) |  | Bidder should specifically confirm on their letter head in this regard as per <b>Appendix-N</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| 8. | Certification Requirements                                                                                                                                                                                                                            |  | <p>A Self-certification should be provided by OEM/SI that the complete solution is fully secure and 3 tier Architecture compliant and fully automated and all interfaces are Straight Through Processing (STP) compliant. <b>For PII &amp; SPDI data, 3 Tier Architecture Solution (Web, APP and database) should be implemented for Internet as well for Intranet Environment of QMS modules.</b></p> <p><b>The QMS application will be placed on Public Environment and a complete 3 Tier Architecture Solution should be implemented.</b></p> <p>All functionalities as envisaged in the RFP should be readily available with the bidder for setup. Bank will scan Bidder's solution (source code) by deploying its own tools and Bidder have to close any observations pointed out by the Bank during such scan. Bidder to certify the above in Bank's standard format.</p> <p>Use Appendix-C-1 of RFP for certificate submission format.</p> |
| 9. | Past/present litigations, disputes, if any (Adverse litigations could result in disqualification, at the sole discretion of the Bank)                                                                                                                 |  | Brief details of litigations, disputes related to product/services being procured under this RFP or infringement of any third party Intellectual Property Rights by prospective Bidder/ OEM or disputes among Bidder's board of directors,                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |

|     |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |  |                                                                                                                                                                                                                                                                                                                                   |
|-----|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|     |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |  | liquidation, bankruptcy, insolvency cases or cases for debarment/blacklisting for breach of contract/fraud/corrupt practices by any Scheduled Commercial Bank/ Public Sector Undertaking / State or Central Government or their agencies/ departments or any such similar cases, if any are to be given on Company's letter head. |
| 10. | Bidders should not be under debarment/blacklist period for breach of contract/fraud/corrupt practices by any Scheduled Commercial Bank/ Public Sector Undertaking / State or Central Government or their agencies/ departments on the date of submission of bid for this RFP and also certify that they have not been disqualified / debarred / terminated on account of poor or unsatisfactory performance and/or blacklisted by any Scheduled Commercial Bank / Public Sector Undertaking / State or Central Government or their Agencies / Departments at any time, during the last 3 years. |  | Bidder should specifically certify in <b>Appendix-A</b> in this regard.                                                                                                                                                                                                                                                           |
| 11. | The bidder, if participating as Channel Partner of any OEM, then OEM should have a support center and level 3 escalation (highest) located in India.<br>For OEMs, directly participating, the conditions mentioned above for support center remain applicable.                                                                                                                                                                                                                                                                                                                                  |  | Bidder should specifically certify in <b>Appendix-A</b> in this regard.                                                                                                                                                                                                                                                           |
| 12  | The Bidder should not have any Service Level Agreement pending to be signed with the Bank for more than 6 months from the date of issue of purchase order.                                                                                                                                                                                                                                                                                                                                                                                                                                      |  | Bidder should specifically certify in <b>Appendix-A</b> in this regard.                                                                                                                                                                                                                                                           |

Documentary evidence must be furnished against each of the above criteria along with an index. All documents must be signed by the authorized signatory of the Bidder. Relevant portions, in the documents submitted in pursuance of eligibility criteria, should be highlighted.

**Eligibility criteria mentioned at Sl No 3&5 in table above are relaxed for Startups subject to their meeting of quality and technical specifications. Bidder to note the followings:**

- i. Start-up” company should enclose the valid Certificate of Recognition issued by Department for Promotion of Industry and Internal Trade (DPIIT), (erstwhile Department of Industrial Policy and Promotion), Ministry of Commerce & Industry, Govt. of India with the technical bid.
- ii. Bidder who solely on its own, fulfils each eligibility criteria condition as per the RFP terms and conditions and who are having Start-up company status, can claim exemption for eligibility criteria mentioned at Sl No 3&5 in table above.
- iii. If all these conditions are not fulfilled or supporting documents are not submitted with the technical Bid, then all those Bids will be summarily rejected, and no queries will be entertained.

**Name & Signature of authorised signatory**

**Seal of Company**

**Technical & Functional Specifications**

**Note:** Bidders must ascertain that they are fulfilling the Technical/Functional requirements, then only provide the compliance remarks as “YES”. Also, provide the details how the technical requirements are being fulfilled. Giving false compliance of technical requirements will lead to disqualification at any stage, before or after procurement.

| Sr. No | Expected Module     | Required Functionalities/ Features in proposed QMS                                                                                                   | Requirement          | Compliance - Readily available in proposed solution (Yes/No) | Description of functionality and Page number with section/ subsection of technical bid response covered (Mandatory for each point where compliance is yes) | Maximum marks (1 each for desirable) |
|--------|---------------------|------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------|--------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------|
| 1.     | Technology Platform | 3-tier Architecture in end to end setup of proposed QMS solution.                                                                                    | Critical & Mandatory |                                                              |                                                                                                                                                            |                                      |
| 2.     | Technology Platform | QMS Application should be scalable to support as per RFP sizing of QMS customers.                                                                    | Critical & Mandatory |                                                              |                                                                                                                                                            |                                      |
| 3.     | Technology Platform | Application must not have Dependency on Thick Client/EXE in setup                                                                                    | Critical & Mandatory |                                                              |                                                                                                                                                            |                                      |
| 4.     | Technology Platform | Encryption of PII/SPDI (Protection of personally identifiable information / Sensitive personal data and information) Data at rest, motion and in use | Critical & Mandatory |                                                              |                                                                                                                                                            |                                      |
| 5.     | Technology Platform | Payload encryption should be available in Application                                                                                                | Critical & Mandatory |                                                              |                                                                                                                                                            |                                      |
| 6.     | Technology Platform | DR active-active /High availability mode in application and                                                                                          | Critical & Mandatory |                                                              |                                                                                                                                                            |                                      |

|     |                     |                                                                                                                                                                                                                                                                                                                                                                                 |                      |  |  |
|-----|---------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------|--|--|
|     |                     | database/clustering configuration in proposed setup                                                                                                                                                                                                                                                                                                                             |                      |  |  |
| 7.  | Technology Platform | Data consistency across all modules of application                                                                                                                                                                                                                                                                                                                              | Critical & Mandatory |  |  |
| 8.  | Technology Platform | Login authentication should be using bank's Active Directory                                                                                                                                                                                                                                                                                                                    | Critical & Mandatory |  |  |
| 9.  | Technology Platform | Licensing should be perpetual and not based on usage including 3rd party tools for all modules as per sizing of RFP and Bank future requirements etc. mentioned in RFP                                                                                                                                                                                                          | Critical & Mandatory |  |  |
| 10. | Technology Platform | Application Source code review will be done by Bank and IT -partner should ready for it, otherwise CERT-IN empaneled party certificate needs to be provided. HP Fortify tool or similar tool may be used by the Bank to scan source code deployed for QMS at Bank location or bidder location and observation need to be closed to get Go-live permission on QMS from bank ISD. | Critical & Mandatory |  |  |
| 11. | Technology Platform | General Data Protection Regulation related compliance requirement met in QMS solution                                                                                                                                                                                                                                                                                           | Critical & Mandatory |  |  |
| 12. | Technology Platform | QMS Application should be scalable to support existing branches and its corresponding users, which may increase in future too as per Bank requirement.                                                                                                                                                                                                                          | Critical & Mandatory |  |  |

|     |                     |                                                                                                                    |                      |  |  |
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| 13. | Technology Platform | Capability of API integration of QMS with any of bank's application.                                               | Critical & Mandatory |  |  |
| 14. | Technology Platform | Data privacy to be ensured. Application wide masking of PII data or any other data required by bank.               | Critical & Mandatory |  |  |
| 15. | Technology Platform | Entire process of QMS should be automatic with no manual intervention.                                             | Critical & Mandatory |  |  |
| 16. | Technology Platform | No limitation on the usage of QMS system on Users concurrency basis.                                               | Critical & Mandatory |  |  |
| 17. | Technology Platform | Product is latest OWASP (Open Worldwide Application Security Project) guidelines compliant                         | Critical & Mandatory |  |  |
| 18. | Technology Platform | Password policy as per bank's ISD guidelines                                                                       | Critical & Mandatory |  |  |
| 19. | Technology Platform | Standard Secure coding practices have been followed in application                                                 | Critical & Mandatory |  |  |
| 20. | Technology Platform | User access control: Role based access, menu based access, hierarchy based access etc.                             | Critical & Mandatory |  |  |
| 21. | Data Management     | Data should be in sync across all delivery modules viz., Yono / Yono Lite /INB / WhatsApp etc.,                    | Critical & Mandatory |  |  |
| 22. | Data Management     | Risk & Regulatory reports as required by regulators or bank                                                        | Critical & Mandatory |  |  |
| 23. | Data Management     | Storage: Ability for easy storage and retrieval of information, plans, data for each module mentioned in the scope | Critical & Mandatory |  |  |
| 24. | Common Features     | Solution customizable as per requirement of the bank                                                               | Critical & Mandatory |  |  |

|     |                 |                                                                                                                                                                                                                      |                      |  |  |
|-----|-----------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------|--|--|
| 25. | Common Features | User interface in English, Hindi and in all scheduled languages as per requirement of the bank. Language should be configurable from a central location.                                                             | Critical & Mandatory |  |  |
| 26. | Common Features | The Solution capable of generating token through digital / physical and QR (Quick Response) code. Tokens with bank's branding and promotional messages.                                                              | Critical & Mandatory |  |  |
| 27. | Common Features | Token numbers should be alphanumeric for easy identifications of services and customer                                                                                                                               | Critical & Mandatory |  |  |
| 28. | Common Features | Token should be printed in the language option selected by the customer.                                                                                                                                             | Critical & Mandatory |  |  |
| 29. | Common Features | The token display at counters would clearly show the tokens that have been called to their respective counters.                                                                                                      | Critical & Mandatory |  |  |
| 30. | Common Features | Voice announcement of tokens in language selected by the customer at the time of taking the token.                                                                                                                   | Critical & Mandatory |  |  |
| 31. | Common Features | Solution should support Auto Calling of tokens. Once a token is served, next token to be called automatically. Counter staff can stop or pause operations after entering pre-defined reasons configurable centrally. | Critical & Mandatory |  |  |
| 32. | Common Features | Solution capable of giving information on estimated wait time on the physical token number and the wait time on real time basis in digital token.                                                                    | Critical & Mandatory |  |  |
| 33. | Common Features | Solution to support display of tokens issued, served, waiting                                                                                                                                                        | Critical & Mandatory |  |  |

|     |                 |                                                                                                                                                                                                                                                                   |                      |  |  |
|-----|-----------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------|--|--|
|     |                 | on a TV / display screen placed at branches with audio and video output for serving token numbers.                                                                                                                                                                |                      |  |  |
| 34. | Common Features | Option of token prioritization for HNIs / Valued customers/ Senior citizens etc.                                                                                                                                                                                  | Critical & Mandatory |  |  |
| 35. | Common Features | Option for pre-booking / appointment by customers for select services to be availed.                                                                                                                                                                              | Critical & Mandatory |  |  |
| 36. | Common Features | Solution deployable in the bank's existing or proposed hardware (Computer / Tablet).                                                                                                                                                                              | Critical & Mandatory |  |  |
| 37. | Common Features | Availability of a dashboard for monitoring and MIS generation on real time basis. MIS on waiting tokens, pause time, reports, service time, employee-wise reports, service-wise footfall at the branch and other information related to tokens etc. on real time. | Critical & Mandatory |  |  |
| 38. | Common Features | User interface for token issuance to display list of branches with the availability of services at these branches with an option to choose the branch, product / service, giving expected wait time.                                                              | Critical & Mandatory |  |  |
| 39. | Common Features | Readily be able to integrate with banks's other application like Yono, Yono lite, INB, WhatsApp or any other module suggested by bank.                                                                                                                            | Critical & Mandatory |  |  |
| 40. | Common Features | Branch Manager / controllers to have supervisor view of what tickets are being served at any given point.                                                                                                                                                         | Critical & Mandatory |  |  |

|     |                     |                                                                                                                                                                                                                                   |           |  |  |  |
|-----|---------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|--|--|--|
| 41. | Technology Platform | Performance of the application should be smooth and scalable if load increase                                                                                                                                                     | Desirable |  |  |  |
| 42. | Technology Platform | Better Support keeping client-side developer for deployment                                                                                                                                                                       | Desirable |  |  |  |
| 43. | Technology Platform | Capability to incorporate changes in UI/UX (User interface / User experience) of solution as per Bank inputs and YONO, INB related suggestions                                                                                    | Desirable |  |  |  |
| 44. | Data Management     | Customer feedback capturing functionality. Functionality to take feedback from customers should be available in QMS solution. QMS should have the feature to configure feedback questions and ratings as per business requirement | Desirable |  |  |  |
| 45. | Data Management     | MIS reporting at different hierarchy levels                                                                                                                                                                                       | Desirable |  |  |  |
| 46. | Data Management     | All types of reports pertaining to customer visit, queue allotment, teller performance etc., or any other kind of report required by bank from time to time.                                                                      | Desirable |  |  |  |
| 47. | Common Features     | Search: Robust Search functionality across all the modules mentioned in the scope                                                                                                                                                 | Desirable |  |  |  |
| 48. | Common Features     | Sort and Filter: Option for sorting and filtering the data in each of the modules by customer and bank users                                                                                                                      | Desirable |  |  |  |
| 49. | Common Features     | Menu driven ability for creation /addition/removal of users, roles. Menu driven                                                                                                                                                   | Desirable |  |  |  |

|     |                 |                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |           |  |  |  |
|-----|-----------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|--|--|--|
|     |                 | ability for definition of access rights for each role                                                                                                                                                                                                                                                                                                                                                                                                              |           |  |  |  |
| 50. | Common Features | Ability to print centrally configurable promotional messages on the token.                                                                                                                                                                                                                                                                                                                                                                                         | Desirable |  |  |  |
| 51. | Common Features | Facility to redirect customers and serve out-of-turn tokens and handle missing tokens.                                                                                                                                                                                                                                                                                                                                                                             | Desirable |  |  |  |
| 52. | Common Features | System should keep information of missing tokens and list to be easily accessible on the token calling panel.                                                                                                                                                                                                                                                                                                                                                      | Desirable |  |  |  |
| 53. | Common Features | Staff should have the option of putting a token on hold in case of missing documents, back office verification, etc., and the same can be re-called again for service.                                                                                                                                                                                                                                                                                             | Desirable |  |  |  |
| 54. | Common Features | System should be able to provide a non-interactive live view of real time statistics of all branches. Additionally, it would be an automated flip style view of real-time branch statistics giving complete view of total walk ins, Waiting customers, Average service time, Average wait time, Staff wise efficiency, Total number of active/non-active counters, Pending Tokens etc. System should support rich graphical display like pie chart, bar graph etc. | Desirable |  |  |  |
| 55. | Common Features | System should support report distribution functionality. Allows reports to be distributed to the appropriate stakeholders, either on the fly or on a scheduled basis via email                                                                                                                                                                                                                                                                                     | Desirable |  |  |  |

|     |                 |                                                                                                                                                                                                                                                       |           |  |  |  |
|-----|-----------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|--|--|--|
| 56. | Common Features | All Report Export Functionality in excel, CSV, PDF, TXT in QMS.                                                                                                                                                                                       | Desirable |  |  |  |
| 57. | Common Features | The display system should show the promotional videos / images and the called token in clear distinct panels. Dynamic scrolling display to handle larger branches                                                                                     | Desirable |  |  |  |
| 58. | Common Features | The display should support interface for adding Foreign Exchange rates, Term Deposit Rates etc.,                                                                                                                                                      | Desirable |  |  |  |
| 59. | Common Features | The display system should support a user interface to add new promotions for a selection of dates/ times. users can create playlist for digital content for selected branch (s)                                                                       | Desirable |  |  |  |
| 60. | Common Features | The promotional videos should be configurable from the central location for each branch / Circle /location etc.                                                                                                                                       | Desirable |  |  |  |
| 61. | Common Features | QMS solution should have easy accessibility on all Mobility devices                                                                                                                                                                                   | Desirable |  |  |  |
| 62. | Common Features | QMS solution should easily adjust as per Mobile App/Tablet/Desktop                                                                                                                                                                                    | Desirable |  |  |  |
| 63. | Common Features | QMS solution should be responsive to open on tablet for Bank's teller. No separate tablet app required.                                                                                                                                               | Desirable |  |  |  |
| 64. |                 | System should be able to provide configuration like adding /deleting services, change the token machine display properties (colour, width, fonts, etc.), language, change display unit properties (fonts, logo, token no & counter no. layout, etc.), | Desirable |  |  |  |

|     |                 |                                                                                                                                          |           |  |  |  |
|-----|-----------------|------------------------------------------------------------------------------------------------------------------------------------------|-----------|--|--|--|
|     |                 | change elements in token (logo, waiting customer count, promotional message, etc.). Ability to deactivate / activate services centrally. |           |  |  |  |
| 65. | Common Features | Proposed Solution should have standard sizing benchmarking defined for Performance testing. Share sample result.                         | Desirable |  |  |  |

**Important: Out of total 65 Technical & Functional Specifications, Sr. No 1 to 40 are mandatory parameters. Sl. No. 41 to 65 are categorized as desirable and carries 2 marks each. If reference page number of technical bid response is not mentioned against above each functionality, then Bank may consider functionality is not available in QMS. In QMS technical bid response, description submitted should match with above mentioned RFP scope functionalities otherwise bank will not consider it for scoring purpose.**

All above Critical and Mandatory functionality requirements should be readily available for SBI in proposed QMS. The above list is not exhaustive, and features listed above are applicable to QMS wherever applicable. All the technology, framework, interfaces in UAT, Pre-prod and Production with DR should be provided with Queue Management Solution.

**Any additional functionality information other than above technical and functional parameters can be shared only for bank information and the same will not be considered for evaluation marking etc.**

**Following details required for Bank reference:**

| Sr. No | Required Functionalities/ Features                        | Compliance ( Yes/No ) and Supporting Documents | Available as part of solution (Yes / No) | Will be Provide as Customization ( Yes / No) | Will be provided as Third Party Solution | Feasible (Yes/No) |
|--------|-----------------------------------------------------------|------------------------------------------------|------------------------------------------|----------------------------------------------|------------------------------------------|-------------------|
| 1.     | Functioning of Software / Hardware / Network etc          | Attached supporting Documents                  |                                          |                                              |                                          |                   |
| 2.     | Licensing details of Software Solution / Service/ Product | Attached supporting Document                   |                                          |                                              |                                          |                   |

|    |  |  |  |  |  |  |
|----|--|--|--|--|--|--|
| 3. |  |  |  |  |  |  |
| 4  |  |  |  |  |  |  |
| 5  |  |  |  |  |  |  |

**Name & Signature of authorised signatory**

**Seal of Company**

The interested solution providers must respond against all these broad categories subject to the adherence of the other terms and conditions mentioned in this RFP. The Solution providers / applicants must clearly specify the category/categories against which the proposal is furnished (in the RFP format), failing which the entries may not be entertained. If the solution is not able to meet some of the parameters mentioned above directly, the solution providers must explicitly mention 3<sup>rd</sup> party solution if any used as part of proposed solution details and must be able to provide seamless integration to meet the parameters (Though it is not preferred, it will be examined by the bank at its sole discretion, considering the individual weightage for each parameter subject to the adherence of the other terms and conditions mentioned in this RFP).For Bank all 3rd party components used in solution bidder has to provide sufficient Number of licenses as per sizing and AMC support and upgrade and security observation need to be addressed by bidder. The Bidder should describe how proposed solution will meet the required Critical and Mandatory functionalities and provide complete details thereof in the technical bid and mention reference to page no in last column Abovementioned Technical Functionalities to be confirmed by the Bidder and shared in detail with technical bid document. This need to be showcased with relevant Documents/Presentation/Flowcharts/process flow/Demo/POC/Site visit etc. as decided by the Bank. Bidders to confirm that each of the above mentioned Critical and Mandatory requirements are readily available for deployment of proposed SBI QMS and need to be showcased or give Demo etc.

**Details of Evaluation Parameters (Scoring Matrix):**

**Bidder would be technically evaluated based on the Technical Evaluation Scoring Matrix as given in the following table for QMS RFP:**

| <b>Sr. No.</b> | <b>Evaluation Parameter</b>                                                                                                                                   | <b>Logic/Supporting Details</b>                                                                                          | <b>Weightage (Maximum Marks)</b> |
|----------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------|----------------------------------|
| 1              | Compliance to 1 to 40 Critical and Mandatory requirements. 41 to 65 desirables (details as given in Technical & Functional Specifications- Appendix C of RFP. | Total Marks obtained in Technical & Functional Specifications in Appendix-C (25 desirable parameters carry 2 marks each) | 50                               |

|   |                                                                                                                                                                                                                                                                                                                                                                                                             |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |    |
|---|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----|
| 2 | <p>Client Reference Provided by Bidder for similar QMS solution implementation projects deployment and feedback taken from client references will be considered for scoring. Client references of Bidder will be considered for technical evaluation and site visit. If bidder is participating as SI then SI should have experience of QMS implementation and SI Client references will be considered.</p> | <p>Number of Three Client references where similar QMS solution modules implemented (Share copy of Purchase order and client feedback taken of current date.<br/> <b>(Marks for three similar QMS implementation Client reference and client site visit feedback)</b></p> <p><b>At least one Client reference shared should have preferably same QMS version implementation which is quoted in QMS RFP response.</b></p> <p><b>Bidder has to arrange at least one site visit from above mentioned client references where similar to RFP scope QMS solution implementation done with latest version of QMS. One site visit is mandatory to get actual feedback of client reference to get idea about functionality of QMS product. Client Site visit to be arranged preferably in India for similar QMS implementation.</b></p> <p>While bidder will arrange site visit but execution part option will remain with bank.</p> | 15 |
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|   |                                                                                                                                                                                                                                                                                         |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                                                                    |
|---|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------|
| 3 | <p>Evaluation of response submitted in RFP (as per Technical bid submission in proposal - to meet Bank's requirement, comply with Bank's latest guidelines as well as performance testing benchmark report to be shared for proposed sizing of Bank with technical bid submission).</p> | <ul style="list-style-type: none"> <li>• The Following Specifications for each of PROD and DR(exact replica of PR), PRE-PROD and UAT environments at SBI;                             <ul style="list-style-type: none"> <li>○ 3 Tier QMS and 3 Tier Architecture Diagram</li> <li>○ Process/Data Flow Diagram</li> <li>○ Proposed software specification along with OEM and features of each software product used in QMS</li> <li>○ Proposed hardware specification for premise-based cloud setup</li> <li>○ Proposed internal, Intranet and external network specification</li> <li>○ Network connectivity &amp; Bandwidths required</li> </ul> </li> <li>• How Cost of Licenses factored in proposed QMS (If any limitation on 3<sup>rd</sup> party tool used license limit highlight for report generation etc.). QMS should be compatible on cloud setup.</li> <li>• Performance benchmark report for proposed QMS as per Bank RFP sizing.</li> <li>• How Complete Project Timeline will be achieved as per milestone with required functionalities.</li> <li>• Detailed approach for obtaining feedback from customers after availing services.</li> </ul> | <p>15<br/><br/>(3 marks for each point of supporting response)</p> |
| 4 | <p>Presentation and <b>live demo of QMS</b> by bidder of proposed solution.</p>                                                                                                                                                                                                         | <p>As per Presentation Template for RFP of QMS. Demo of QMS should be from bidder office and should show actual functionalities asked by bank.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                | <p>20</p>                                                          |
|   | <p><b>Total Marks (Weightage):</b></p>                                                                                                                                                                                                                                                  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   | <p><b>100</b></p>                                                  |

Bidders scoring a minimum of 80% marks in the technical evaluation scoring matrix will qualify for commercial evaluation.

**Presentation Template for RFP of QMS**

| Sl.No. | Areas in Presentation                                                                                                                      | Details of areas                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
|--------|--------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1      | Background                                                                                                                                 | Background of Participating Bidder, OEM, other 3 <sup>rd</sup> party and support taken with its support Centre location in India.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| 2      | Brief overview of similar QMS implementation by bidder                                                                                     | Brief overview of 3 to 5 instances/projects of similar QMS implementations across BFSI domain in the Globe by bidder                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
| 3      | Solution Overview<br>[Reference to requirements in RFP with Sub section heading will be desirable].<br>Understanding of RFP Scope of Work. | <p>Bidder's understanding of scope of work for RFP of QMS:</p> <p>a. Three tier Architecture in end to end setup of QMS proposed solution, Data Flow and other details of proposed solution</p> <p>b. Proposed Software and Hardware Stack required in SBI Cloud setup with no of software licenses etc. and sizing of Virtual machine etc.</p> <p>c. Tabular comparison of problems and solutions</p> <p>d. Performance Benchmarking considering SBI sizing and other requirements in RFP</p> <p>e. AI/ML Use cases on proposed QMS</p> <p>f. Proposition to Data Governance, Data Quality and Data automatic Reconciliation</p> <p>g. Data Security</p> <p>h. Compliance with various regulatory requirements</p> <p>i. Real time data loading and reporting</p> <p>j. Any other important aspects keeping in view of RFP scope i.e. Mobility integration with SBI YONO and interfaces with other SBI applications as per RFP scope</p> |
| 4      | Project Management, Planning, Resource Management and Execution Timelines                                                                  | Timelines for proposed QMS production customization & live as per RFP timelines                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| 5      | Business benefits realization & Value creation                                                                                             | Time frame to realize business benefits. Value creation along with quantifiable benefits.<br><b>L2 Service desk team at Bank should be able to address technical issues and complete activity without direct backend database access.</b> All issues resolution should be through front end menu driven.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| 6      | Key Takeaways & Service Desk                                                                                                               | Key Takeaways & Unique points of proposed QMS Solution.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| 7      | Key Functionalities in proposed solution will be taken care to be covered as part of presentation                                          | <b>QMS Application entire setup is having any Dependency on Thick Client/EXE then please highlight and share all screens as part of RFP bid response with list of functionalities which is not part of 3 tier architecture and share if any PII &amp; SPDI data is processed.</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |

|   |                   |                                                                                                               |
|---|-------------------|---------------------------------------------------------------------------------------------------------------|
|   |                   | Application bidder will have no problem in source code review.<br>Any other special input                     |
| 8 | Executive summary | Executive summary and resource to be deployed for QMS with experience etc.                                    |
| 9 | Appendix          | Any other relevant information related to Queue Management solution compliance by GDPR latest guidelines etc. |

**Other guidelines**

1. Duration of presentation is 2-5 Hrs. Executive summary should be kept at the end of the presentation for 15 Mins. Timelines of 2 hrs. Should be strictly adhered to, hence no extension to presentation will be permitted.
2. Please maintain the order (Sr.No. 1 to 9) of presentation as given in presentation template in this document.
3. We suggest that the number of slides (~ 50) in the presentation should be concise, moderate and relevant to the areas mentioned in above presentation template.
4. Maximum 6 participants will be allowed for presentation; it can be held at virtually also if Bank permit through Microsoft Team etc.
5. Gate pass requests for participants should be sent at least 2 days in advance as guided below. Format for raising gate-pass request is given below.

|                                    |
|------------------------------------|
| Name                               |
| E-mail ID                          |
| Mobile Number                      |
| Organization                       |
| Laptop make (if required)          |
| Laptop Serial Number (if required) |

Please send mail for raising gate pass request if required.

On Company's Letter head)

**Appendix-C-1**

To,  
**The Dy. General Manager,**  
 Branch Redesign and Network Management,

Dear Sir,

**SELF CERTIFICATION**  
**APPLICATION NAME: QMS**

I/We, \_\_\_\_\_ hereby declare that the Application \_\_\_\_\_ (developed)/(deployed) by us \_\_\_\_\_ (Name of organization) on \_\_\_\_\_ for SBI has followed all the security measures while developing.

The complete proposed QMS solution is fully secure and 3 tier Architecture compliant and fully automated and all interfaces are Straight Through Processing (STP) compliant.

**For PII & SPDI data, 3 Tier Architecture Solution (Web, APP and database) should be implemented for Internet as well for Intranet Environment of QMS. The Client facing portal of QMS application will be placed on Public Environment and there should be a complete 3 Tier Architecture Solution should be implemented.**

All functionalities as envisaged in the RFP is readily available with the bidder for setup. Bank will scan Bidder's solution (source code) by deploying its own tools and Bidder have to close any observations pointed out by the Bank during such scan.

Following secure source code related security aspects have been taken care of while developing the Application \_\_\_\_\_, version number \_\_\_\_\_:

| Sl. No. | Security Aspects                                                                                                                                                                                                                      | Remarks  |
|---------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------|
| 1       | Secure coding practices have been followed                                                                                                                                                                                            | Yes / No |
| 2       | Application was subjected to Source Code Review and patched against all known vulnerabilities including those defined under OWASP Top 10 and SANS 25, prior to handover to the Bank                                                   | Yes / No |
| 3       | No static details regarding Application (e.g. Default username, password) are mentioned in the code                                                                                                                                   | Yes / No |
| 4       | Obfuscation of code has been done while putting the Application into production                                                                                                                                                       | Yes / No |
| 5       | Secure SDLC processes have been followed                                                                                                                                                                                              | Yes / No |
| 6       | Application was free from malware at the time of sale, free of any obvious bugs and free of any covert channels in the code (of the version of the application being delivered as well as any subsequent Versions/modifications done) | Yes / No |
| 7       | The application is safe from potential bottlenecks and single points of failure vulnerable to DDoS attacks from source code perspective                                                                                               | Yes / No |



We also confirm that the Application version number \_\_\_\_\_ (to be deployed)/(deployed) in the Bank has been subjected to thorough Risk Assessment procedures with focus on Source code review by (Internal)/ (External) Reviewers using :

- a) \_\_\_\_\_ (Name of Source Code Review Tool) or
- b) A Proprietary Source Code Review Tool developed by us

The last review was performed on \_\_\_\_/\_\_\_\_/\_\_\_\_\_ and observations have been duly closed with the following exceptions. The roadmap and the timeline for these exceptions are mentioned below:

| Timelines for Closure | Count of Observations |                        |                        |                         |             | Total |
|-----------------------|-----------------------|------------------------|------------------------|-------------------------|-------------|-------|
|                       | Upto 3 months         | > 3 months to 6 months | > 6 months to 9 months | > 9 months to 12 months | > 12 months |       |
| High                  |                       |                        |                        |                         |             |       |
| Medium                |                       |                        |                        |                         |             |       |
| Low                   |                       |                        |                        |                         |             |       |
| Informational         |                       |                        |                        |                         |             |       |

We also undertake the responsibility to provide timely mitigation for any future vulnerability/zero-day vulnerability observed in the product or the underlying infrastructure that may impact the security assurances of the product.

**Name & Signature of authorised signatory**

**Seal of Company**

Date:

Place:

**Bidder Details**

## Details of the Bidder

| S. No. | Particulars                                                                                                                                                                                    | Details |
|--------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------|
| 1.     | Name                                                                                                                                                                                           |         |
| 2.     | Date of Incorporation and / or commencement of business                                                                                                                                        |         |
| 3.     | Certificate of incorporation                                                                                                                                                                   |         |
| 4.     | Brief description of the Bidder including details of its main line of business                                                                                                                 |         |
| 5.     | Company website URL                                                                                                                                                                            |         |
| 6.     | Company Pan Number                                                                                                                                                                             |         |
| 7.     | Company GSTIN Number                                                                                                                                                                           |         |
| 8.     | Particulars of the Authorized Signatory of the Bidder<br>i. Name<br>ii. Designation<br>iii. Address<br>iv. Phone Number (Landline)<br>v. Mobile Number<br>vi. Fax Number<br>vii. Email Address |         |
| 9      | Details for EMD Refund (applicable only if EMD is directly credited in designated account):-<br>a) Account No.<br>b) Name of account holder<br>c) Name of Bank<br>d) IFSC Code                 |         |

**Name & Signature of authorized signatory****Seal of Company**

|                                           |
|-------------------------------------------|
| <b>Scope of Work and Payment Schedule</b> |
|-------------------------------------------|

| Sl No | Particulars                     | Requirements/ Remarks                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
|-------|---------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1     | Description of Product/Services | <p>Bank proposes to procure Queue Management Software (QMS) for managing crowd at branches.</p> <p><b><u>SCOPE OF WORK</u></b></p> <p><b><u>A. FUNCTIONAL REQUIREMENTS:</u></b></p> <ol style="list-style-type: none"> <li>1. Queue Management Software (QMS), including but not limited to providing of the required Software, Databases, Third Party Utilities, if any, and installation, testing, commissioning, warranty, annual maintenance required/guaranteed uptime, etc.</li> <li>2. Supply, installation, commissioning, and implementation of QMS including its maintenance, administration, support and upgradation with no additional cost during the entire contract period of 6 years.</li> <li>3. QMS to be implemented in phases in 10000 branches initially with an option of scalability up to 25% of targeted branches.</li> <li>4. Customisation of the solution as per requirement of the bank including necessary configuration with the network and other hardware vendors of the bank to be ensured by the successful vendor without any additional cost to the bank.</li> <li>5. The QMS solution capable of generating token through digital / physical and QR (Quick Response) code and token to contain branch name, code, service(s) selected etc.</li> <li>6. User interface design to be customised and token display as per the requirement of the bank. Feasibility/option of display of services in all scheduled languages as per requirement of the bank.</li> <li>7. User interface for token issuance to display list of branches with the availability of services at these branches with an option to choose the branch, product / service, giving expected wait time.</li> </ol> |

8. Solution capable of giving information on estimated wait time on the physical token number and the wait time on real time basis in digital mode
9. Solution should have facility of assigning benchmark times for the services available in QMS.
10. Solution to support display of tokens issued, served, waiting and publicity material on a TV / display screen placed at branches and audio and video output for serving token numbers.
11. Option of token prioritisation for HNIs / Valued customers/ Senior citizens etc. or as decided by the bank. HNIs and Senior citizens to get priority over general customers in token callings.
12. Facility of token calling, switching between tokens, token forwarding to desired counter by the user at the branch.
13. Option for pre-booking / appointment by customers for select services to be availed.
14. Provision of remote monitoring and resolution in case of failure / breakdown with real-time information of tokens issued / served / wait time etc.
15. A dashboard for monitoring and MIS generation on real time basis to be made available.
16. MIS on waiting tokens, expected time, service time, service-wise footfall at the branch and other information related to tokens etc. on real time.
17. Bidder should have ability to generate MIS reports periodically for example: wait time, service time, token issued, served, waiting etc. on real time basis.
18. Bidder shall provide Bank with requisite MIS and Reports as per the formats prescribed by the 3rd party auditors, security audit of application, Regulatory bodies, Govt. etc.
19. Feasibility to integrate with the bank's feedback system for obtaining feedback from customers after availing services.
20. Provision of Holiday Master for management and control of holidays at targeted regions / branches.

**B. TECHNICAL REQUIREMENTS:**

1. Feasibility to integrate with Bank's customer facing platforms such as YONO / YONO Lite, INB and WhatsApp .

2. The solution to be deployable on Bank's on-premises private cloud locations.
3. The QMS solution capable of being functional in the bank's existing or proposed hardware (Computer / Tablet).
4. Support maintenance activities like day end, month end, quarter ends, and year ends, uploads, downloads, trouble shooting, problem resolution, servicing and maintenance.
5. Provide support during the period of the contract for configuration changes, version upgradations, performance monitoring, troubleshooting, bug fixing, patch installation and liaison with bank officials for various support issues etc.
6. Bidder will be responsible for server, storage and network sizing for the proposed Solution for Bank. The sizing needs to be done based on Bank's requirements, business growth, optimized power usage and scalability. The bidder should provide the detail of Hardware required, peripherals, server types, configuration, storage space and any other information as may be required for the solution.
7. Design, setup and manage environments for various types of testings including but not limited to SIT (Systems Integration testing), API Testing, Database Testing, UAT (User Acceptance Testing), Load/performance testing, etc.
8. Provide comprehensive documentation of the application including but not limited to, the application architecture, description of the interfaces, the data model, database table structure, data flow diagrams, complete description of the data elements (metadata), user manual for all stakeholders.
9. The bidder must provide the technology upgrade to the Bank from time to time and certify that the technology or platform or solution being deployed is up to date.
10. Provide minor releases at every quarter for bug fixes, patch releases and product upgrades with new features/ functionalities every year or as per the frequency mutually agreed between the Bank and the Bidder.
11. Vendor to ensure strict adherence to data privacy as per applicable laws and regulations. Bank may require confirmation from vendor of the same from time to time and should be allowed to perform an audit for the same.

12. Vendor to implement all the practices and systems required for data security of SBI clients. In case of a breach vendor to be responsible and Bank need to be indemnified.
13. Bidder should ensure that any software/product/company certification that is required from an Information Security (IS) perspective has to be adhered to.
14. Post implementation scope to indicatively include but not limited to support for the following: (a) Upgrades, (b) maintenance, (c) System monitoring, (d) Troubleshooting & Performance Tuning, (e) Advisories on software upgrades & vulnerabilities, (f) Conducting DR Drills & support for the same, (g) Any support required to make systems & software up and running, data backup & replication of data to DR etc.
15. Perform closure of Gaps identified as part of information security audits.
16. If the "End of Support" of supplied software version is declared within the contract period of 6 years, new version with all the existing customizations should be implemented by the Bidder with no extra cost to the Bank.
17. If "End of support" is declared for other operating systems, databases then solution should support the upgraded versions as and when required by bank
18. The bidder will be responsible for Backup of Application and Data Base as per the requirement of the Bank.
19. The Bidder shall provide detailed drawing of the installed setup after completion of the project. This will also include the printout of important configuration settings of the servers.
20. Bidder's onsite resource should support in rectification of deficiencies pointed during periodic VAPT (External & Internal), IS Audit, Security Audit, various compliances specially government and regulatory, cyber related and likewise., to the Bank during the contract period at no additional cost to the Bank.
21. Bidder should either provide source code with necessary documentation or keep it under escrow arrangement. An escrow arrangement is a tripartite agreement between the Bank, Software vendor and the escrow agent. By this arrangement, the source code of application is kept with escrow agent, which can be made available to the Bank in the event the vendor goes out of business. The Successful Bidder is required to execute

documents /agreements in this regard as prescribed by Bank from time to time.

22. Bidder should carry out preventive and corrective maintenance activities to ensure that all Software/System perform without defect or interruption for ensuring availability of systems. System/Solution health check-up twice a year by Bidder/Vendor at no extra cost shall be conducted.
23. Implementation and maintenance of setup at primary and DR sites. Clearance of solution architecture from Bank E&TA Dept.
24. Fixing of Comprehensive Security Review findings, after first setup and thereafter as and when carried out by Information Security Department of the Bank.
25. Provide exit management and reverse transition during the end of the contract.

**C. OTHER REQUIREMENTS:**

1. Provide one day functional and technical training to the Core teams (including but not limited to Operations and IT teams) as identified by Bank from time to time.
2. Provide knowledge transfer in the form of KT (knowledge Transfer) sessions, Train the Trainer sessions, comprehensive documentation on the solution.
3. Successful bidder to ensure 3 (Three) years warranty for the QMS solution. Post warranty, 3 (Three) years of AMC (Annual Maintenance Contract) to be provided by the bidder.
4. Bidder to provide 16x7x365 (366) support for implementation, Integration, Maintenance, Administration, Onsite Support and Licences for QMS for the entire contract period of 6 years.
5. To Provide centralized back-office support through dedicated team
6. Bidder would ensure that all audit finding reports submitted by teams/agencies as appointed by the bank, would be acted upon promptly.

|   |                                                                           |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
|---|---------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|   |                                                                           | <p>7. An escalation mechanism should be in place for unresolved issues and necessary reports should be submitted as decided by the Bank.</p> <p>8. The system to be made available 16x7x365(366). Penalty to be imposed as per the availability slab mentioned in Appendix J (penalties)</p> <p>9. Step-by-step process and workflow with screenshots and any such requirements of the bank.</p> <p>10. Bidder will be responsible to respond to emergency events on urgent basis as per the SLA.</p> |
| 2 | Description of Deliverables                                               | <p>1. Queue Management Solution software.</p> <p>2. Installation, commissioning and maintenance of software solution at the targeted locations.</p> <p>3. Provide one day functional and technical training to the Core teams (including but not limited to Operations and IT teams) as identified by Bank from time to time.</p>                                                                                                                                                                     |
| 3 | Third-Party Components                                                    | Bidder should provide and describe all third-party items, components, materials and licences etc. as part of deliverables as per project plan without any additional cost to the bank during the entire contract period of 6 years.                                                                                                                                                                                                                                                                   |
| 4 | Term of the Project - Project Schedule; Milestones and delivery locations | Bidder should submit final project implementation plan within 1 month of PO.                                                                                                                                                                                                                                                                                                                                                                                                                          |
| 5 | Warranty Term                                                             | <p>Three (3) years comprehensive warranty for the QMS solution and post warranty Three (3) years AMC without any additional cost to the bank.</p> <p>Comprehensive warranty / AMC from the OEM for all the components of the software should be available for the entire contract period at the bidder's own cost.</p>                                                                                                                                                                                |
| 6 | Annual Maintenance (AMC) Term                                             | The selected bidder shall support the Software Solution during the period of warranty from the date of acceptance of the Software Solution by the bank and post Warranty through AMC without any additional cost to the bank. The support needed for this period is 16x7x365.                                                                                                                                                                                                                         |

|   |                                   |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
|---|-----------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 7 | Integration / Requirements        | Application integration requirements would be undertaken by the vendor without additional cost to the Bank.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
| 8 | Help Desk Requirements            | <p>a) 16 x 7x 365 days per year, online / offline support facility as required by the bank.</p> <p>b) 10 Resources for onsite infra support / back end support. The resources mentioned is tentative and may increase / decrease. These resources will provide end to end daily support for all branches / operating units in co-ordination with all stake holders such as operation team, IT team etc. Onsite resources can also be required to be deployed at any location in India as suggested by the Bank</p> <p>c) E-mail and SMS should be sent for non-functioning of system or as decided by the Bank. A troubleshooting ticket mechanism should be introduced with all details / updates till closures of the incident.</p> <p>d) Bidder staff should be well trained to effectively handle queries raised by the Bank.</p>                                                                                                          |
|   | Future Change Request (CR)        | Post implementation any further development in the solution will be compensated at the rate of Rs. 8000 per man day.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| 9 | MIS Report Generation requirement | <p>Dashboard for real time monitoring of customers footfall, wait time, service time, down-time log, users performance logs etc.</p> <p>a. Branch-wise, Region-wise, Circle-wise MIS report</p> <p>b. Employee-wise ticket generated, served report, token paused, Peak Hour Report, Real Time Analysis, Peak Time Analysis, etc.</p> <p>c. Report on active / non-active counters, lapsed / pending tokens etc.</p> <p>d. Branch-wise / Region-wise/ Network-wise etc. employee efficiency report</p> <p>e. Graphical representation view of data / reports with detailed parameterized drill down option.</p> <p>f. Reports on trends of footfalls.</p> <p>g. Forecasting of footfalls based on historical data on queue for predicting branch performance (Usage of AI/ML for prediction is desirable)</p> <p>h. Comparative analysis report branch-wise / Region-wise / State-wise etc.</p> <p>i. Ranking / Scoring branch-wise report</p> |

|    |                                      |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
|----|--------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|    |                                      | <p>j. All other reports / customization as and when required by the bank.</p> <p>All MIS reports should be customizable and available in formatted PDF, txt, HTML, CSV, excel, XML etc. and should be downloadable. Should support standard formats available in the industry.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
| 10 | In case of Transaction System        | Not applicable                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| 11 | Performance Requirements             | 16x7x365 uptime of the solution is required                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| 12 | Scalability Requirements             | <ol style="list-style-type: none"> <li>1. The QMS solution will be implemented in 10000 branches with an option of scalability to 25% more branches.</li> <li>2. Users / Employees from all targeted branches, its controllers and other operating units to use the solution</li> </ol>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
| 13 | Regulatory / Compliance Requirements | As and where applicable                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
| 14 | Security Requirements                | <ol style="list-style-type: none"> <li>1. Confidentiality, Integrity and Non-repudiation of data to be ensured using industry best cryptographic controls with key algorithm / mechanism.</li> <li>2. The solution should have option to configure supported platforms (i.e. OSs) as per Bank's defined policy and requirement.</li> <li>3. The solution should support secure API integration guidelines, wherever applicable.</li> <li>4. The Application security should be in line with or similar to as specified in ISO / IEC 27034</li> <li>5. Solution should be flexible to customization as per Bank's IS Policy and regulatory / compliance.</li> <li>6. Remote monitoring, resolution and helpdesk support where solution access is required to be from Bank's own premise location only.</li> <li>7. Proposed solution integration with Bank's existing platform such as YONO, YONO Lite, WhatsApp, INB etc. should be in line with respective platform IS security controls.</li> </ol> |

8. Any hardware based client facing endpoint as part of solution should follow Bank's defined policy for connecting endpoints to Bank's network.
9. Inputs from customers during the token generation from available options by avoiding minimizing or text input.
10. Digital / Printed tokens should include customer specific identifier, validity details etc. to ensure authenticity and integrity of the token presented to the branches.
11. Data security / confidentiality should be ensured in Data at Rest, in Motion and in Use.
12. Solution should support payload encryption for customer sensitive data.
13. Parameter validation should be in place at solution GUI (Graphic user interface) to check and validate the request received to restrict intended input.
14. Solution should support restricted communication for application components at firewall based on application tier and other entries (such as SMS, email, YONO etc.) with specific secure ports allowed at firewall level. The default logical ports need to be modified based on the criticality.
15. Application deployment should follow 3 tier architecture and logical segregation / restriction (i.e. Micro-segmentation) should be ensured within standard 3 tier architecture as applicable.
16. Software / Agents proposed to be used in the solution should not be in blacklisted category at Bank level and should not affect application availability at any stage of solution deployment or being used for monitoring.
17. Session should be managed properly to facilitate secure interactions and prevent session replay attacks in case of integration with Bank's existing platforms.

|    |                                                          |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
|----|----------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|    |                                                          | <p>18. Solution should maintain and secure complete log / audit trail for user activities to create audit trail for DFRA (Digital Forensic Readiness Assessment).</p> <p>19. All IT assets of the proposed solution should have provision to integrate with Bank's own security solution such as PIMS (Privileged Identity Management), SOC (Security Operations Center), DAM (Database Activity Management), ITAM (IT Asset Management) and have latest SCDs (Secured Configuration Documents) to be configured.</p>                                                                                                    |
| 15 | Limited Trial / Pilot Requirements                       | The bidder should conduct successful pilot of the end-to-end solution for 10 days after UAT signoff and before Go-Live.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| 16 | Review and Testing; Acceptance                           | <p>a. After integration and implementation of the proposed solution, the bidder shall be required to perform User Acceptance Test and demonstrate all the functionalities, required as per this RFP and contract document of the proposed solution.</p> <p>b. On evaluation of the User Acceptance Test results and if required in view of the performance of the proposed solution, as observed during the User Acceptance Test, the Vendor shall provide necessary solution at his own cost thereof, to ensure the performance of the proposed solution is meeting the requirement, as envisaged in this document.</p> |
| 17 | Backup system / POC / test & training system / DR system | <p>a. The system should have capability of backup and archival as per Bank's requirement.</p> <p>b. The solution should be implemented with UAT, Production, DR instances and any other instance which may be required in future.</p>                                                                                                                                                                                                                                                                                                                                                                                    |
| 18 | Training                                                 | <p>1. One day training to the all the functionaries at circle level required before implementation of the solution</p> <p>2. Knowledge transfer ("KT") sessions to the staff of the bank. These trainings/KTs would involve (but not limited to), Product usage, Installation and Configuration. The type of trainings, KTs, schedule, coverage, etc. would be finalized between Bank and the bidder during the contract phase of the project.</p>                                                                                                                                                                       |
| 19 | Payment schedule                                         | Payment milestones as mentioned at the end of <b>Appendix E</b> below.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |

**PAYMENT MILESTONES**

The project is including support resources services of QMS also part of TCO whose payment will be done on monthly basis post Go live of QMS.

QMS License, Implementation, Integration, and Support Resources Cost payment of invoices will be as per following:

| SI No | Items                                                                                                                                                                                                                                                              | Payment               |
|-------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------|
| 1     | Post Delivery of Software License and installation of software entire QMS, and confirming licenses client as per RFP in UAT and deputed required resource<br><b>Milestone 1</b>                                                                                    | 10% of Solution Cost  |
| 2     | Successful Implementation of QMS in UAT/pre-prod Clearance<br><b>Milestone 2</b>                                                                                                                                                                                   | 20 % of Solution Cost |
| 3     | Successful Implementation of QMS in production and DR active -active setup with all interfaces and all business requirement of complete RFP scope of deliverable is covered as per Bank IT and Business requirement.<br><b>Milestone 3</b>                         | 30% of Solution Cost  |
| 4     | After Go Live i.e. QMS Deployment in Production with all technical and functional Critical & mandatory requirements, all modules and internal and external interfaces working which includes SBI Information security clearance) Milestone 2<br><b>Milestone 4</b> | 30% of Solution Cost  |
| 5     | Post successful Customization and Implementation of SBI specific requirement as per RFP Scope Support. Payment will be done after 1 Year post go live.<br><b>Milestone 5</b>                                                                                       | 10 % of Solution Cost |
|       |                                                                                                                                                                                                                                                                    |                       |
|       |                                                                                                                                                                                                                                                                    |                       |

**Support and other Resources cost:**

Per month cost paid for all Project resources deployed in project as per TCO price breakup will be paid after Go live of QMS Project and as per actual requirement of resources.

**Note:** For daily project operation Support resources and other human resources post end to end implementation of project with all RFP scope requirement is met, support resources invoices can be taken monthly basis payment as per engagement finalized between Bank and selected L1 bidder as per total price breakup amount of resources mentioned in TCO for 72 months post Go live and as per Number of resources required mentioned in BOM for Human Resources Engagement below. As per RFP Appendix-F.

**QMS Project Management**

The Bidder should clearly define project life cycle and milestones and bidder need to include as below but not limited to:

1. Bank's QMS solution Study and Preparation of FSD (Functional specification document) and Project Proposal in Bank format
2. Functional and Technical Requirements Specifications
3. Requirement Analysis & Requirement Traceability Matrix
4. Functional Design Specifications
5. Design Technical Architecture/ Specifications
6. Project Plan along with list of deliverables
7. Master Test Plan including SIT (System integration testing) & UAT (User acceptance testing) (Functional & Regression)
8. Risk Management & Dependencies
9. Necessary Documentation on all the stages in Bank Project management practice Formats

**Term of the QMS Project - Milestones with Schedule (UAT, Pre-production and production in parallel QMS should be made ready, no separate timelines):**

| Sl.No. | Project Major Tentative Milestones for Queue Management Solution Go -live                     | Production Go live Timelines |
|--------|-----------------------------------------------------------------------------------------------|------------------------------|
| 1      | Purchase Order(PO) issuance date                                                              |                              |
| 2      | Business Requirement discussion on QMS and services as per RFP for Queue management Solution. |                              |

|    |                                                                                                                                                                                                            |                              |
|----|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------|
| 3  | Study of current legacy system                                                                                                                                                                             | Max 12 Weeks from Date of PO |
| 4  | Gap analysis report to be prepared by vendor                                                                                                                                                               |                              |
| 5  | Project Kick Off meeting                                                                                                                                                                                   |                              |
| 6  | BRD (Business requirements documents) Finalization and Receipt of URF ( User request form) from BU (Business units)                                                                                        |                              |
| 7  | Gap Analysis of Business Requirement and preparation of UAT and pre-prod t setup as per requirement                                                                                                        |                              |
| 8  | QMS proposed solution document preparation as per Bank format                                                                                                                                              |                              |
| 9  | Inputs from UI/UX team on QMS                                                                                                                                                                              |                              |
| 10 | In-principle E&TA approval on proposed QMS with Bank team help                                                                                                                                             |                              |
| 11 | In-principal ISD approval on proposed QMS with Bank team help                                                                                                                                              |                              |
| 12 | Development Infrastructure setup in UAT and pre-prod Cloud setup. SIT setup need to bidder location preferably as product code development happen bidder location.                                         |                              |
| 13 | Middleware and Databases related configuration and setup                                                                                                                                                   |                              |
| 14 | Delivery on Bank's UAT environment QMS                                                                                                                                                                     |                              |
| 15 | Development for integration with all Interfaces in UAT                                                                                                                                                     |                              |
| 16 | Development of Customization interfaces encryption of APIs. Changes in integrations related development and encryptions as per the extant Information Security guidelines of the Bank.                     |                              |
| 17 | SIT testing by IT Team, Business Team, UI/UX Team                                                                                                                                                          |                              |
| 18 | Preparation of Test cases                                                                                                                                                                                  |                              |
| 19 | Preparation of Technical Document & User Manuals                                                                                                                                                           |                              |
| 20 | Implementation of necessary firewall rules for SIT/UAT/Pre-Prod                                                                                                                                            |                              |
| 21 | SIT of product and interfaces development as per RFP                                                                                                                                                       |                              |
| 22 | All other interfaces integration as per RFP scope                                                                                                                                                          |                              |
| 23 | UAT of product and interfaces                                                                                                                                                                              |                              |
| 24 | Fixing of defects detected in UAT by UAT Dept./Stakeholders                                                                                                                                                |                              |
| 25 | ISD Review, Source code review and preparation of process documents                                                                                                                                        |                              |
| 26 | Fixing of vulnerability issues & SCD etc.                                                                                                                                                                  |                              |
| 27 | Receipt of Sign off testing from BU in UAT                                                                                                                                                                 |                              |
| 28 | Receipt of Bank UAT Deptt Exit Report                                                                                                                                                                      |                              |
| 29 | Deployment on pre-production setup                                                                                                                                                                         |                              |
| 30 | Fixing of bugs detected in preproduction                                                                                                                                                                   |                              |
| 31 | Performance testing as per proposed sizing on preferred labs or bidder setup etc as bank prefer pre-production setup should be smaller size then production and test result as per benchmarking of product |                              |
| 32 | ISD confirmatory review                                                                                                                                                                                    |                              |
| 33 | ISD exit report receipt                                                                                                                                                                                    |                              |
| 34 | ISD Testing / Code review report observation to be closed                                                                                                                                                  |                              |
| 35 | Change control committee review meeting for production changes                                                                                                                                             |                              |
| 36 | Production- Application Installation and Database deployment                                                                                                                                               |                              |
| 37 | Production go-live including all module of operation. and support to Central Operation Team                                                                                                                |                              |

|    |                                                                                             |        |
|----|---------------------------------------------------------------------------------------------|--------|
| 38 | Post production Review                                                                      | 1 week |
| 39 | WAF Integration on internet facing Client portal at PR if applicable                        |        |
| 40 | Installation and commissioning of Infrastructure and solution setup in DR                   |        |
| 41 | Application related configuration for DR setup with High availability at application and DB |        |
| 42 | DR- Active Active setup, Go live of QMS and SLA execution                                   |        |

### Training

1. The Bidder should provide online tutorials, video and e-learning lessons. If required in person training should be arranged.
2. The Bidder should arrange for periodical training sessions for management and maintenance of the QMS and service desk team issue resolution and in case of replacement of project resource.

### **SERVICE DESK/HELP DESK/OPERATION SUPPORT TENTATIVE SHIFT PLAN:**

Technical Support Team at SP III department situated at Navi Mumbai whereby a total of 10 Service Desk/Help Desk (technical persons) in rotational shifts have to be deployed in the following manner subject to change at the discretion of Bank:

| Period        | Timings                                                             |
|---------------|---------------------------------------------------------------------|
| Shift I       | 6:00 AM to 3:00 PM (1 DBA+1 OS Admin +1 Service Desk/Help Desk)     |
| Shift II      | 1:00 PM to 10:00 PM (1 DBA + 1 OS Admin+ 1 Service Desk/Help Desk ) |
| General Shift | 10:00 AM to 07:00 PM ( 3 Service Desk/Help Desk + Project Manager)  |

**Note:** It will be the responsibility of the successful bidder to make alternate arrangement for the resource in case the shift duty official is not available due to any exigency.

### **Skill set requirement for resources:**

| S. No. | Skillset                                   | Qualification      | Exp. (in yrs.) |
|--------|--------------------------------------------|--------------------|----------------|
| 1.     | Project Manager                            | BE/B.Tech/MCA/M BA | 7-10           |
| 2.     | Data Base Admin.                           | BE/B.Tech/MCA/     | 7-10           |
| 3.     | System Server Administrator / OS Admin     | BE/B.Tech/MCA/     | 5-7            |
| 4.     | L2 Customer Service Desk Support/Help desk | BE/B.Tech/MCA/     | 5              |

**Broad Roles and Responsibility of bidder resources:**

- A. **Developer Roles at onsite deputed at SBI:** Developer should have knowledge and certification on language in which QMS software is developed. After Go-live of QMS in production as per RFP scope changes requests raised by QMS Business/IT, should be done by on site Developer quickly with approval of QMS product team and as per their product change control committee approval. On site developer will test customizations and new changes across SBI QMS setup landscape developed by him and it should be ensured that such changes do not have any impact on other functionalities of QMS. QMS L3 team project manager from vendor office to review and confirm all changes and development work done by onsite Developer. It will be the sole responsibility of the vendor; in case any adverse impact or issue occur in the system after implementation of such change request or its malfunctioning. New business reports etc. need to be developed by on site developer. After Go live of QMS (as per RFP Scope) pending requirement if any will be handled by vendor product staff. On site developer will take care of Bank's new/additional requirement.
- B. **Project Manager and Business Analyst (Techno Functional lead) Role for Bank requirement:** Over all in charge of project from vendor side for smoothly provide deliverable of project on time and coordinate with product team and Bank.
- C. **Service Desk/Help Desk broad Role Requirements:**
- a) Onsite support facility using Bank's SCORE/ITSM ticketing tool.
  - b) The team is required \onsite at Navi Mumbai in general working hours on all Bank's working days. However, some of the team members may require to work in shifts also as per Bank's need.
  - c) The team may be required to attend certain shifts on holidays/ off days/ late evening hours, as and when required.
  - d) Escalation process should be defined and in place for unresolved issues with Bidder product team for higher end support and resolution as per type of issue and as per issue resolution matrix time slot mentioned in RFP.
  - e) Bidder support staff should be well trained to effectively handle queries raised by the Bank customers/ employees, etc.
  - f) The SLA/ Penalty for monitoring onsite support team is mentioned in RFP.
  - g) **Tasks list of onsite resources for Product Support:**
    1. Download and maintain a Central Repository of all the QMS toolset installable, its latest patches, upgrades, fixes and dependencies etc. resolving the security finding and recommendations as decided by the Bank.
    2. Create, implement, setup, maintain and upgrade/ update the QMS platform as well as the associated toolsets identified by the Bank at PR, DR as well as UAT and pre-prod locations as decided by the Bank. Wherever applicable, recommend and refine the infrastructure sizing.
    3. Provide technical support from experts backed by product team to provide defect level support services to resolve service desk issues, address product compatibility and interoperability concerns.

4. The platform should be able to define various types of roles to be assigned to end users to enable role based access.
5. Create and regularly update relevant documentation, such as detailed procedural document about the processes, structure, access mechanism and deployment of QMS change request etc. as per bank CCC.
6. Set-up approval-based code deployment as per the process/ workflow defined by the Bank.
7. Work with Project Management team, User Acceptance team and Information Security team to implement new changes.
8. Assists in the feasibility study & impact analysis to setup for new requirement.
9. Preventive maintenance: the BIDDER shall arrange to conduct Preventive Maintenance
10. Any other task(s) associated/ related with the QMS and not listed above.

**h) Tentative Tasks list of onsite resources for Operational Support:**

1. Install, configure and maintain all tools including QMS solution in Physical or Virtual environment, as decided by the Bank.
2. Apply patches, new releases, upgraded, fixes to end to end Queue Management solution and its interfaces as well as tools in consultation with the Bank. Provide support to older versions in case the Bank chooses not to upgrade to latest version.
3. Provide support on various issues like performance bottlenecks, health check-up, resolution of any complex operational or performance or security issue, integration with existing application.
4. Administration, management and monitoring of the Queue Management solution.
5. Responsible to resolve security concerns, vulnerabilities, VAPT, maintenance of security policy in systems (SCD configuration), QMS setup hardening from time to time, in consultation with the Bank.
6. Support and work with the respective teams/ application owners to onboard their applications, onto the QMS platform, for legacy as well as new-age applications or services by using Bank's ITSM ticketing tool.
7. Guide the application teams to deploy their application & related infrastructure configuration to development, SIT, UAT, staging, pre-production & production environments/DR, as applicable by using Bank's ticketing tool.
8. Guide and assist in on-demand request from projects for any expert troubleshooting of QMS Project functionality.
9. Should be able to provide hands-on sessions to each application department – immediately after the on-boarding on the platform for interface and Reconciliation etc.
10. Any other task(s) associated/ related with the platform/ QMS/ services and not listed above.
11. SBI IT/Business team will supervise and coordinate for necessary approval and meeting etc. rest end to end delivery of QMS solution as well as support for 6 years contract has to be taken care by bidder respective Team as per RFP scope.
12. Install, configure and maintain all tools including QMS software solution in Physical or Virtual environment, as decided by the Bank.

13. Apply patches, new releases, upgraded, fixes to end to end Queue Management solution and its interfaces as well as tools in consultation with the Bank. Provide support to older versions in case the Bank chooses not to upgrade to latest version.
14. Provide support on various issues like performance bottlenecks, health check-up, resolution of any complex operational or performance or security issue, integration with the existing application.
15. Administration, management and monitoring of the Queue Management solution
16. Responsible to resolve security concerns, vulnerabilities, VAPT, maintenance of security policy in systems (SCD configuration), QMS setup hardening from time to time, in consultation with the Bank. Bank will arrange to perform VAPT by Bank SOC tool and Security review including code review of all the components and Bidder resources will arrange to close all such observations monthly and periodically.
17. Support and work with the respective teams/ application owners to onboard their applications, onto the QMS platform, for legacy as well as new-age applications or services by using Bank's ITSM (IT service management) ticketing tool.
18. Guide the application teams to deploy their application & related infrastructure configuration to development, SIT, UAT, staging, pre-production & production environments/DR, as applicable by using Bank's ticketing tool.
19. Guide and assist in on-demand request from projects for any expert troubleshooting of QMS Project functionality.
20. Should be able to provide hands-on sessions to each application department – immediately after the on-boarding on the platform for interface and Reconciliation etc.
21. Any other task(s) associated/ related with the platform/ solution/ services and not listed above.
22. SBI IT/Business team will supervise and coordinate for necessary approval and meeting etc. rest end to end delivery of QMS solution and support for 6 years contract has to be taken care by bidder respective Team as per RFP scope.
23. Any other skill sets required in QMS software component local support team should be trained to handle technical issue.

**Note:**

1. The onsite team, in each shift, should be able to maintain and support the entire centralized platform as well as all the tools/interfaces associated. This shall be applicable after the completion of go live as per RFP.
2. Bank reserves the right to interview all of the professionals to be deployed in the project and reject if not found suitable for the project. At a later stage also if any of the professional found unsuitable or incapable or violates any of the bank guidelines Bank may ask to remove/ replace all such professionals on a short notice.
3. All other roles will be as per project requirement to meet day to day new requirement and to meet deliverables.
4. Bidder has to perform reinstallation of QMS and other software due to any hardware/OS crash etc. Installation need to be done across landscape UAT, pre-prod and Production as well DR active-active as per high availability at QMS. Coordinate for reconfiguration of setup due to Data Centre shifting etc during contract period.

5. Bank will follow the best practices of creation of separate network zones (VLAN Segments) for Web, App, DB and different zones for critical applications, UAT etc.
6. Quick Incident management/response process should be in place by Vendor team.
7. Regulatory and Statutory compliance at vendor site. Special emphasis on section 43A of IT Act 2000 apart from others.
8. Background verification of vendor staff will be done by vendor and confirmation report need to be submitted to Bank.

Bidder's QMS should strictly be in line with the technical and functional parameters also as set out in RFP Scope and Appendix-C, E

**Performance Testing for QMS:**

Performance Testing for SBI QMS application to be delivered as per SBI sizing requirement and to be done by prospective bidder and they need to show to Bank performance parameters result for proposed projections shared by Bank in this RFP.

Share details of performance testing for proposed QMS is whether done by your in-house team than share tools used details etc. with complete approach/scenarios taken and benchmark parameters etc. Attach detailed Performance Testing report with complete tentative server configuration details in virtual setup in response of this RFP.

If performance testing for proposed solution is done by 3<sup>rd</sup> party then share 3<sup>rd</sup> party report, to Bank without any change in report at your end.

The Bidder should provide the details of similar Performance Testing services including details of Scope of Project, Number of locations/ customers, etc. as defined in Customer References. It is expected that the bidder provides the details for each of the assignments / projects / implementations separately covering the complete scope of work for similar QMS and contact Centre implementation.

**Officials from SBI may also carry out Reference Site Visits and/or Telephonic Interviews with the existing customers of the vendor.** The inputs that have been received from the Customer will be considered by SBI and this may not need any documentary evidence. This rating will be purely on the inputs provided by the customers of the bidders.

**RFP Proposal should include following items in their response for entire proposed QMS setup:**

- The Following Specifications for each of **PRODUCTION, PRE-PROD, UAT and DR environments (including licenses for entire landscape);**
  - Architecture Diagram
  - Network Diagram
  - Process/Data Flow Diagram

- Proposed software specification along with OEM and features of each software product
- Proposed hardware specification in Cloud setup
- Proposed internal and external network specification
- Network connectivity & Bandwidths
- Any other relevant artefacts
- **Detailed Integration Plan including timelines from existing to new setup**
- Cost model (How the licensing will be done)
- Team structure to handle end to end both QMS on premise at SBI Navi Mumbai preferably (without actual profiles)
- Performance benchmark for QMS
- **Tentative Project Timeline as per project plan milestone mentioned**

**Note** – We have given indicative functionality and for details etc. in this RFP. However new system proposed by bidders should be flexible enough to support additional functionalities etc. as required by the Bank.

### **“PRIVATE CLOUD DEPLOYMENT”**

The proposed application shall be deployed on private cloud of SBI - Meghdoot. The vendor shall be responsible to give sizing for hardware procurement in Bill of Material (BoM).

Following is the list of services available in Meghdoot:

1. Single Tier IaaS with (Non SCD)
2. Single Tier IaaS with (SCD)
3. Multi-Tier IaaS with (SCD)
4. Single Tier IaaS with Zero-Trust Network
5. Multi-Tier IaaS with Zero-Trust Network
6. Automated SIEM Integration

#### **7. Day 2 Operations:**

- a. Power ON

- b. Power Off
- c. Restart VM
- d. Reconfigure a VM
- e. Mount ISO
- f. Unmount ISO

8. Snapshot as a Service

9. DR As a Service - Check Sync Status

**10. DR As a Service**

- a. Test Failover
- b. Actual Failover and Failback
- c. ITSM integration
- d. Day 2 Activities

11. VM Cloning as a Service

12. Monitoring as a Service

13. Load Balancer as a Service (AVI)

14. Setup & migration of all use cases to vRA 8.x

15. PaaS (Web Server-as-a-Service): IIS

16. PaaS (Web Server-as-a-Service): Apache

17. PaaS (Application Server-as-a-Service): WebSphere

18. PaaS (Application Server-as-a-Service): Jboss

19. PaaS (Database-as-a-Service): Oracle (Stand-Alone)

20. PaaS (Database-as-a-Service): Oracle (RAC)

21. PaaS (Database-as-a-Service): MSSQL

22. DevOps Automation for Virtual Machines

23. Code to Container
24. Container Registry
25. Audited Kubernetes Application Runtime
26. Spring Runtime
27. In-Memory Caching (Gemfire)
28. Message Broker-as-a-Service (RabbitMQ)
29. K8's & Tanzu Developer Desktop Tools
30. Logging-as-a-Service
31. Integration service to integrate with code scanning security tool like HP-Fortify.
32. DevOps Automation for Containers & Micro services”

### **ROLL OUT PLAN**

Vendor should supply, configure, customize, implement, integrate and maintain QMS application as per implementation plan in Bid process and as agreed by the Bank. Bank expects the implementation to be completed in all the target branches within 6 months from release of PO. The solution may be implemented in phases, following are indicative timelines:

| Sr No. | Phases                                                                                                                         | Timelines                                           |
|--------|--------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------|
| 1      | With all functionalities/ modules of the application readily available after customisation to suit the requirement of the bank | Within 12 Weeks from date of purchase order issued. |
| 2      | Go-live at all identified branches / locations with all the features and functionalities as per RFP                            | Within 24 Weeks from date of purchase order         |

**Appendix-F**

**Indicative Price Bid**

The indicative Price Bid needs to contain the information listed hereunder and needs to be submitted on portal of e-Procurement agency.

**Name of the Bidder:**

| Sr. No.       | Item                                                                                                                                                                                                                                                                                    | Quantity/No of Resources | Rate per item/Per resource etc. (as applicable) | Total Amount in Rupees | Proportion to Total Cost (in percentage) # |
|---------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------|-------------------------------------------------|------------------------|--------------------------------------------|
| 1.            | Cost of Software Solution as per specification                                                                                                                                                                                                                                          |                          |                                                 |                        |                                            |
| 2             | Installation/ Commissioning                                                                                                                                                                                                                                                             |                          |                                                 |                        |                                            |
| 3.            | Comprehensive warranty for Software Solution mentioned in items above for 3 years from the go live date.                                                                                                                                                                                |                          |                                                 |                        |                                            |
| 4             | Comprehensive annual maintenance/ATS/S&S for Software Solution mentioned above for 3 years, including annual renewal cost, if any, after the end of comprehensive warranty. (This cost should be in the range 15% to 25% p.a. of license cost of software as quoted in S. No. 1 above). |                          |                                                 |                        |                                            |
| 5.            | Onsite support<br>(i) 16x7x365                                                                                                                                                                                                                                                          | 10 resources             |                                                 |                        |                                            |
| <b>Total*</b> |                                                                                                                                                                                                                                                                                         |                          |                                                 |                        |                                            |

# The 'Proportion to Total Cost' percentage mentioned here will have to be maintained in the final price quote also by the successful Bidder. The percentage should be mentioned in two decimal places. Variation in the final price should not exceed +/- 5%. See illustration at the end.

\* This will be the Total Cost of Ownership (TCO)/Total Project Cost and should be quoted in the reverse auction.

**Breakup of Taxes and Duties**

| Sr. No.            | Name of activity/Services | Tax 1               | Tax 2 | Tax 3 |
|--------------------|---------------------------|---------------------|-------|-------|
|                    |                           | Mention Name of Tax |       |       |
|                    |                           | GST%                |       |       |
| 1.                 |                           |                     |       |       |
| 2.                 |                           |                     |       |       |
| 3.                 |                           |                     |       |       |
| <b>Grand Total</b> |                           |                     |       |       |

**Name & Signature of authorised signatory**

**Seal of Company**

**Illustration**

| Particulars                                     | Indicative Price Bid Quote (INR) | Proportion to Total Cost 'G' (in %age) of indicative price bid | Final Price (INR) in reverse auction | Minimum final price should not be below (INR) | Maximum final price should not exceed (INR) |
|-------------------------------------------------|----------------------------------|----------------------------------------------------------------|--------------------------------------|-----------------------------------------------|---------------------------------------------|
| <i>A</i>                                        | <i>B</i>                         | <i>C</i>                                                       | <i>D*</i>                            | <i>E</i><br>(95% of <i>D</i> )                | <i>F</i><br>(95% of <i>D</i> )              |
| Item 1                                          | 25                               | 13.16                                                          | 9.87                                 | 9.38                                          | 10.36                                       |
| Item 2                                          | 50                               | 26.32                                                          | 19.74                                | 18.75                                         | 20.72                                       |
| Item 3                                          | 75                               | 39.47                                                          | 29.60                                | 28.13                                         | 31.09                                       |
| Item 4                                          | 40                               | 21.05                                                          | 15.79                                | 15.00                                         | 16.58                                       |
| <b>Grand Total</b><br>(1 + 2 + 3 + 4)= <b>G</b> | <b>190</b>                       | <b>100</b>                                                     | <b>75</b>                            |                                               |                                             |

\* Ideal final price breakup based on final price of INR 75 quoted in the reverse auction.

**Certificate of Local Content**

<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, on their letter head with Registration Number with seal.>

Date:

To,

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Dear Sir,

**Ref.: RFP No. :** \_\_\_\_\_ **Dated:** \_\_\_\_\_

This is to certify that proposed \_\_\_\_\_ <product details> is having the local content of \_\_\_\_\_ % as defined in the above mentioned RFP.

2. This certificate is submitted in reference to the Public Procurement (Preference to Make in India), Order 2017 including revision thereto.

**Signature of Statutory Auditor/Cost Auditor**

Registration Number:

Seal

**Counter-signed:**

**Bidder**

**OEM**

**BANK GUARANTEE FORMAT**  
***(TO BE STAMPED AS AN AGREEMENT)***

**THIS BANK GUARANTEE AGREEMENT** executed at \_\_\_\_\_ this \_\_\_\_\_ day of \_\_\_\_\_ 201 by \_\_\_\_\_ (Name of the Bank) \_\_\_\_\_ having its Registered Office at \_\_\_\_\_ and its Branch at \_\_\_\_\_ (hereinafter referred to as "the Guarantor", which expression shall, unless it be repugnant to the subject, meaning or context thereof, be deemed to mean and include its successors and permitted assigns) **IN FAVOUR OF** State Bank of India, a Statutory Corporation constituted under the State Bank of India Act, 1955 having its Corporate Centre at State Bank Bhavan, Nariman Point, Mumbai and one of its offices at \_\_\_\_\_ (**procuring office address**), hereinafter referred to as "**SBI**" which expression shall, unless repugnant to the subject, context or meaning thereof, be deemed to mean and include its successors and assigns).

WHEREAS M/s \_\_\_\_\_, incorporated under \_\_\_\_\_ Act having its registered office at \_\_\_\_\_ and principal place of business at \_\_\_\_\_ (hereinafter referred to as "**Service Provider/ Vendor**") which expression shall unless repugnant to the context or meaning thereof shall include its successor, executor & assigns) has agreed to develop, implement and support \_\_\_\_\_ (name of Software Solution/ Service) (hereinafter referred to as "**Services**") to SBI in accordance with the Request for Proposal (RFP) No. SBI:xx:xx dated dd/mm/yyyy.

WHEREAS, SBI has agreed to avail the Services from the Service Provider for a period of \_\_\_\_\_ year(s) subject to the terms and conditions mentioned in the RFP.

WHEREAS, in accordance with terms and conditions of the RFP/Purchase order/Agreement dated \_\_\_\_\_, Service Provider is required to furnish a Bank Guarantee for a sum of Rs. \_\_\_\_\_/- (Rupees \_\_\_\_\_ only) for due performance of the obligations of the Service Provider in providing the Services, in accordance with the RFP/Purchase order/Agreement guaranteeing payment of the said amount of Rs. \_\_\_\_\_/- (Rupees \_\_\_\_\_ only) to SBI, if Service Provider fails to fulfill its obligations as agreed in RFP/Agreement.

WHEREAS, the Bank Guarantee is required to be valid for a total period of \_\_\_\_\_ months and in the event of failure, on the part of Service Provider, to fulfill any of its commitments / obligations under the RFP/Agreement, SBI shall be entitled to invoke the Guarantee.

AND WHEREAS, the Guarantor, at the request of Service Provider, agreed to issue, on behalf of Service Provider, Guarantee as above, for an amount of Rs. \_\_\_\_\_/- (Rupees \_\_\_\_\_ only).

**NOW THIS GUARANTEE WITNESSETH THAT**

1. In consideration of SBI having agreed to entrust the Service Provider for rendering Services as mentioned in the RFP, we, the Guarantors, hereby unconditionally and irrevocably guarantee that Service Provider shall fulfill its commitments and obligations in respect of providing the Services as mentioned in the RFP/Agreement and in the event of Service Provider failing to perform / fulfill its commitments / obligations in respect of providing Services as mentioned in the RFP/Agreement, we (the Guarantor) shall on demand(s), from time to time from SBI, without protest or demur or without reference to Service Provider and not withstanding any contestation or existence of any dispute whatsoever between Service Provider and SBI, pay SBI forthwith the sums so demanded by SBI not exceeding Rs. \_\_\_\_\_/- (Rupees \_\_\_\_\_ only).
2. Any notice / communication / demand from SBI to the effect that Service Provider has failed to fulfill its commitments / obligations in respect of rendering the Services as mentioned in the Agreement, shall be conclusive, final & binding on the Guarantor and shall not be questioned by the Guarantor in or outside the court, tribunal, authority or arbitration as the case may be and all such demands shall be honoured by the Guarantor without any delay.
3. We (the Guarantor) confirm that our obligation to the SBI, under this guarantee shall be independent of the agreement or other understandings, whatsoever, between the SBI and the Service Provider.
4. This Guarantee shall not be revoked by us (the Guarantor) without prior consent in writing of the SBI.

**WE (THE GUARANTOR) HEREBY FURTHER AGREE & DECLARE THAT-**

- i. Any neglect or forbearance on the part of SBI to Service Provider or any indulgence of any kind shown by SBI to Service Provider or any change in the terms and conditions of the Agreement or the Services shall not, in any way, release or discharge the Bank from its liabilities under this Guarantee.
- ii. This Guarantee herein contained shall be distinct and independent and shall be enforceable against the Guarantor, notwithstanding any Guarantee or Security now or hereinafter held by SBI at its discretion.
- iii. This Guarantee shall not be affected by any infirmity or absence or irregularity in the execution of this Guarantee by and / or on behalf of the Guarantor or by merger or amalgamation or any change in the Constitution or name of the Guarantor.

- iv. This Guarantee shall not be affected by any change in the constitution of SBI or Service Provider or winding up / liquidation of Service Provider, whether voluntary or otherwise
- v. This Guarantee shall be a continuing guarantee during its validity period.
- vi. This Guarantee shall remain in full force and effect for a period of \_\_ year(s) \_\_\_\_month(s) from the date of the issuance i.e. up to \_\_\_\_\_. Unless a claim under this Guarantee is made against us on or before \_\_\_\_, all your rights under this Guarantee shall be forfeited and we shall be relieved and discharged from all liabilities there under.
- vii. This Guarantee shall be governed by Indian Laws and the Courts in Mumbai, India alone shall have the jurisdiction to try & entertain any dispute arising out of this Guarantee.

**Notwithstanding anything contained herein above:**

- i. Our liability under this Bank Guarantee shall not exceed Rs \_\_\_\_\_/- (Rs. \_\_\_\_\_only)
- ii. This Bank Guarantee shall be valid upto \_\_\_\_\_
- iii. We are liable to pay the guaranteed amount or any part thereof under this Bank Guarantee only and only if SBI serve upon us a written claim or demand on or before \_\_\_\_\_

**Yours faithfully,**

**For and on behalf of bank.**

\_\_\_\_\_  
**Authorised official**

Appendix -I

**PROFORMA OF CERTIFICATE TO BE ISSUED BY THE BANK  
AFTER SUCCESSFUL COMMISSIONING AND ACCEPTANCE  
OF THE SOFTWARE SOLUTION/ SERVICES**

Date:

M/s. \_\_\_\_\_  
\_\_\_\_\_

Sub: Certificate of delivery, installation and commissioning

1. This is to certify that the Software Solution as detailed below has/have been successfully installed and commissioned (subject to remarks in Para No. 2) in accordance with the Contract/specifications.

a) PO No. \_\_\_\_\_ dated \_\_\_\_\_

b) Description of the Solution \_\_\_\_\_

c) Quantity \_\_\_\_\_

d) Date of installation \_\_\_\_\_

e) Date of acceptance test \_\_\_\_\_

f) Date of commissioning \_\_\_\_\_

2. Details of specifications of Software Solution not yet commissioned and recoveries to be made on that account:

| <u>S. No.</u> | <u>Description</u> | <u>Amount to be recovered</u> |
|---------------|--------------------|-------------------------------|
|---------------|--------------------|-------------------------------|

3. The installation and commissioning have been done to our entire satisfaction and staff have been trained to operate the Software Solution.

4. Service Provider has fulfilled his contractual obligations satisfactorily

or

Service Provider has failed to fulfill his contractual obligations with regard to the following:

(a)

(b)

(c)

5. The amount of recovery on account of non-supply of Software Solution/Services is given under Para No. 2 above.

Signature \_\_\_\_\_

Name \_\_\_\_\_

Designation with stamp \_\_\_\_\_  
\_\_\_\_\_

### Penalties

Bidder has to ensure that the Solution/Support should comply with the RFP terms and penalties will be imposed on breach of RFP terms as mentioned below:

| End - to - End System Availability | Performance slab (%) | Penalty (of billed amount) |
|------------------------------------|----------------------|----------------------------|
|                                    | 99.89 to 99.75       | 1%                         |
|                                    | 99.74 to 99.50       | 2%                         |
|                                    | 99.49 to 99.25       | 4%                         |
|                                    | 99.24 & below        | 6%                         |

Operations are tentatively to run for all days in a month, 16 hours per day. The defined hours may be modified at the sole discretion of the Bank.

End-to-End system availability is calculated as the total time system is available / total time system was required.

For example, if the system is to be available 25 days a month, 12 hours a day (as defined by bank working requirements) then denominator of above equation becomes  $25 \times 12 = 300$  hrs

In case the system is down for 1 hr, then system availability =  $(300 - 1)/300 = 99.67\%$

The vendor must provide accurate and timely reports to verify the downtimes of various systems as mentioned in respective SLAs. The vendor is also expected to report the total system availability as explained above. The details of the same will be verified by the bank.

#### Penalty for availability

will be calculated as below:

If the billing for a given month is Rs. 50,00,000, and the penalty is on the 99.89 to 99.75 slab then 1% of that month i.e. Rs. 50,000 will be deducted from that months payment

Exclusions:

- Planned downtime,
- Problems with hardware due to OEM defect,
- Networking issues if not attributable to the bidder's fault,
- Internal and External Integrations with their solution for which the bidder has no control over.
- However, if there is any reason which will be attributable to the bidder, penalty will be applicable in the above-mentioned issues

#### Penalty for delays

**Product Development:** If the Service Provider fails to deliver product within the stipulated time, schedule as specified in this RFP/Agreement, the Bank may, without prejudice to its other remedies under the RFP/Agreement, and unless otherwise extension of time is agreed upon without the

application of liquidated damages, deduct from the weekly milestone payments, liquidated damages a sum equivalent to 2% for delay of each week.

**Solution Implementation:** If the Service Provider fails to deliver product and/or perform any or all the Services within the stipulated time, schedule as specified in this RFP/Agreement, the Bank may, without prejudice to its other remedies under the RFP/Agreement, and unless otherwise extension of time is agreed upon without the application of liquidated damages, deduct from the Project Cost, as liquidated damages a sum equivalent to 0.5% of total Project Cost for delay of each week or part thereof maximum up to 5% of total Project Cost. Once the maximum deduction is reached, the Bank may consider termination of the Agreement.

Appendix-K

**Service Level Agreement**

**SOFTWARE/SERVICE LEVEL AGREEMENT**

**BETWEEN  
STATE BANK OF INDIA  
AND**

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**Commencement Date:**

**Date of Expiry:**

This agreement (“Agreement”) is made at \_\_\_\_\_ (Place) on this \_\_\_\_\_ day of \_\_\_\_\_  
201\_.

**BETWEEN**

**State Bank of India**, constituted under the State Bank of India Act, 1955 having its Corporate  
Centre and Central Office at State Bank Bhavan, Madame Cama Road, Nariman Point, Mumbai-

21 and its Global IT Centre at Sector-11, CBD Belapur, Navi Mumbai- 400614 through its Branch Redesign and Network Management Department, 2<sup>nd</sup> Floor, State Bank Bhavan, Madame, Cama Road, Nariman Point, Mumbai, 400021,<sup>1</sup> hereinafter referred to as “**the Bank**” which expression shall, unless it be repugnant to the context or meaning thereof, be deemed to mean and include its successors in title and assigns of the First Part:

AND

\_\_\_\_\_ <sup>2</sup> a private/public limited company/LLP/Firm incorporated under the provisions of the Companies Act, 1956/ Limited Liability Partnership Act 2008/ Indian Partnership Act 1932 , having its registered office at ..... hereinafter referred to as “**Service Provider/ Vendor**”, which expression shall mean to include its successors in title and permitted assigns of the Second Part:

WHEREAS

- A. “The Bank” is carrying on business in banking in India and overseas and desirous to avail services for \_\_\_\_\_ <sup>3</sup>, and \_\_\_\_\_ <sup>4</sup>, and
- B. Service Provider in the business of providing \_\_\_\_\_ <sup>5</sup>, and has agreed to supply \_\_\_\_\_ (Software) and/or providing the Services as mentioned in Request for Proposal (RFP) No. \_\_\_\_\_ dated \_\_\_\_\_ issued by the Bank along with its clarifications/ corrigenda, referred hereinafter as a “RFP” and same shall be part of this Agreement.

NOW THEREFORE, in consideration of the mutual covenants, undertakings and conditions set forth below, and for other valid consideration the acceptability and sufficiency of which are hereby acknowledged, the Parties hereby agree to the following terms and conditions hereinafter contained:-

## 1. DEFINITIONS & INTERPRETATION

### 1.1 Definition

<sup>1</sup>Name & Complete Address of the Dept.

<sup>2</sup>Name & Complete Address ( REGISTERED OFFICE) of Service Provider,

<sup>3</sup>Purpose of the Agreement

<sup>4</sup>Any other connected purpose or details of RFP floated by the Bank

<sup>5</sup>Brief mentioning of service providers experience in providing the services required by the Bank.

Certain terms used in this Agreement are defined hereunder. Other terms used in this Agreement are defined where they are used and have the meanings there indicated. Unless otherwise specifically defined, those terms, acronyms and phrases in this Agreement that are utilized in the information technology services industry or other pertinent business context shall be interpreted in accordance with their generally understood meaning in such industry or business context, unless the context otherwise requires/mentions, the following definitions shall apply:

- 1.1.1 ‘The Bank’ shall mean the State Bank of India (including domestic branches and foreign offices) Subsidiaries and Joint Ventures, where the Bank has ownership of more than 50% of voting securities or the power to direct the management and policies of such Subsidiaries and Joint Ventures.
- 1.1.2 “Code” shall mean computer programming code contained in the Software. If not otherwise specified, Code shall include both Object Code and Source Code which means programming languages, including all comments and procedural code, and all related development documents (e.g., flow charts, schematics, statements of principles of operations, end-user manuals, architecture standards, and any other specifications that are used to create or that comprise the Code). Code shall include Maintenance Modifications and Enhancements in the Software.
- 1.1.3 “Confidential Information” shall have the meaning set forth in Clause 15.
- 1.1.4 “Data Dictionary or Metadata Repository” shall mean a repository of information about data such as meaning, relationships to other data, origin/lineage, usage, business context and format including but not limited to data type, data length, data structure etc., further, it as a collection of columns and tables with metadata.
- 1.1.5 “Deficiencies” shall mean defects arising from non-conformity with the mutually agreed specifications and/or failure or non-conformity in the Scope of Services.
- 1.1.6 “Documentation” will describe in detail and in a completely self-contained manner how the user may access and use the Queue Management Solution (QMS) (name of the Software/ maintenance services),<sup>6</sup> such that any reader of the Documentation can access, use and maintain all of the functionalities of the Software, without the need for any further instructions. ‘Documentation’ includes, user manuals, installation manuals, operation manuals, design documents, process documents, data flow

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<sup>6</sup> Name of Software

documents, data register, technical manuals, functional specification, software requirement specification, on-line tutorials/CBTs, system configuration documents, Data Dictionary, system/database administrative documents, debugging/diagnostics documents, test procedures, Review Records/ Test Bug Reports/ Root Cause Analysis Report, list of all Product components, list of all dependent/external modules and list of all documents relating to traceability of the Product as and when applicable etc.

- 1.1.7 “Intellectual Property Rights” shall mean, on a worldwide basis, any and all: (a) rights associated with works of authorship, including copyrights & moral rights; (b) Trade Marks; (c) trade secret rights; (d) patents, designs, algorithms and other industrial property rights; (e) other intellectual and industrial property rights of every kind and nature, however designated, whether arising by operation of law, contract, license or otherwise; and (f) registrations, initial applications, renewals, extensions, continuations, divisions or reissues thereof now or hereafter in force (including any rights in any of the foregoing).
- 1.1.8 “Open Source or Copyleft license” shall mean a license of a computer program in which the source code is available to the general public for use and/or modification from its original design.
- 1.1.9 “Project Cost” means the price payable to Service Provider over the entire period of Agreement (i.e. Rs. \_\_\_\_\_ <in words>) for the full and proper performance of its contractual obligations.
- 1.1.10 “Project Documents” shall mean all the plans, drawings and specifications used while bidding and all other documents necessary to complete all work.
- 1.1.11 “Request for Proposal (RFP)” shall mean RFP NO. \_\_\_\_\_ dated \_\_\_\_\_ along with its clarifications/ corrigenda issued by the Bank time to time.
- 1.1.12 “Revision control procedure” shall mean the procedure for management of changes to documents, software programs, and other collections of information made during this engagement.
- 1.1.13 “Root Cause Analysis Report” shall mean a report addressing a problem or non-conformance, in order to get to the ‘root cause’ of the problem, which thereby assists in correcting or eliminating the cause, and prevent the problem from recurring.

- 1.1.14 ‘Services’ shall mean and include the Services offered by Service Provider more particularly described in Clause 2 of this Agreement. ‘Services’ shall also include the implementation services, training services and maintenance Services and other obligation of Service Provider to be provided under this Agreement.
- 1.1.15 “Software” shall mean (a) the software product(s) described in this Agreement; (b) all maintenance, modifications and enhancements that are provided to the Bank; (c) the Code contained in or otherwise related to each of the foregoing; and (d) the Documentation.
- 1.1.16 “Test Bug Reports” shall mean a report providing the details as to the efficiency of software in relation with reporting and resolution of any bug.

## **1.2 Interpretations:**

- 1.2.1 Reference to a person includes any individual, firm, body corporate, association (whether incorporated or not) and authority or agency (whether government, semi government or local).
- 1.2.2 The singular includes the plural and vice versa.
- 1.2.3 Reference to any gender includes each other gender.
- 1.2.4 The provisions of the contents table, headings, clause numbers, italics, bold print and underlining is for ease of reference only and shall not affect the interpretation of this Agreement.
- 1.2.5 The Schedules, Annexures and Appendices to this Agreement shall form part of this Agreement.
- 1.2.6 A reference to any documents or agreements (and, where applicable, any of their respective provisions) means those documents or agreements as amended, supplemented or replaced from time to time provided they are amended, supplemented or replaced in the manner envisaged in the relevant documents or agreements.
- 1.2.7 A reference to any statute, regulation, rule or other legislative provision includes any amendment to the statutory modification or re-enactment or, legislative provisions substituted for, and any statutory instrument issued under that statute, regulation, rule or other legislative provision.

1.2.8 Any agreement, notice, consent, approval, disclosure or communication under or pursuant to this Agreement is to be in writing.

1.2.9 The terms not defined in this agreement shall be given the same meaning as given to them in the RFP. If no such meaning is given technical words shall be understood in technical sense in accordance with the industrial practices.

### 1.3 Commencement, Term & Change in Terms

1.3.1 This Agreement shall commence from its date of execution mentioned above/ be deemed to have commenced from \_\_\_\_\_ (Effective Date).

1.3.2 This Agreement shall be in force for a period of \_\_\_\_\_ year(s) from Effective Date, unless terminated by the Bank by notice in writing in accordance with the termination clauses of this Agreement.

1.3.3 The Bank shall have the right at its discretion to renew this Agreement in writing, for a further term of \_\_\_\_\_ years on the mutually agreed terms & conditions.

1.3.4 Either Party can propose changes to the scope, nature or time schedule of services being performed under this Service Level Agreement. Such changes can be made upon mutually accepted terms & conditions maintaining the spirit (Purpose) of this Service Level Agreement.

## 2. SCOPE OF WORK

2.1 The scope and nature of the work which Service Provider has to provide to the Bank (Services) is described in **Annexure-A**.

2.2 The Bank may, at its sole discretion, provide remote access to its information technology system to IT Service Provider through secured Virtual Private Network (VPN) in order to facilitate the performance of IT Services. Such remote access to the Bank's information technology system shall be subject to the following:

2.1.1 Service Provider shall ensure that the remote access to the Bank's VPN is performed through a laptop/desktop ("Device") specially allotted for that purpose by the Service Provider and not through any other private or public Device.

2.1.2 Service Provider shall ensure that only its authorized employees/representatives access the Device.

- 2.1.3 Service Provider shall be required to get the Device hardened/configured as per the Bank's prevailing standards and policy.
- 2.1.4 Service Provider and/or its employee/representative shall be required to furnish an undertaking and/or information security declaration on the Bank's prescribed format before such remote access is provided by the Bank.
- 2.1.5 Service Provider shall ensure that services are performed in a physically protected and secure environment which ensures confidentiality and integrity of the Bank's data and artefacts, including but not limited to information (on customer, account, transactions, users, usage, staff, etc.), architecture (information, data, network, application, security, etc.), programming codes, access configurations, parameter settings, executable files, etc., which the Bank representative may inspect. Service Provider shall facilitate and/ or handover the Device to the Bank or its authorized representative for investigation and/or forensic audit.
- 2.1.6 Service Provider shall be responsible for protecting its network and subnetworks, from which remote access to the Bank's network is performed, effectively against unauthorized access, malware, malicious code and other threats in order to ensure the Bank's information technology system is not compromised in the course of using remote access facility.

### **3. FEES /COMPENSATION**

#### **3.1 Professional fees**

3.1.1 Service Provider shall be paid fees and charges in the manner detailed in hereunder, the same shall be subject to deduction of income tax thereon wherever required under the provisions of the Income Tax Act by the Bank. The remittance of amounts so deducted and issuance of certificate for such deductions shall be made by the Bank as per the laws and regulations for the time being in force. Nothing in the Agreement shall relieve Service Provider from his responsibility to pay any tax that may be levied in India on income and profits made by Service Provider in respect of this Agreement.

3.1.2 \_\_\_\_\_

3.1.3 \_\_\_\_\_

3.2 All duties and taxes (excluding<sup>7</sup> \_\_\_\_\_ or any other tax imposed by the Government in lieu of same), if any, which may be levied, shall be borne by Service Provider and Bank shall not be liable for the same. All expenses, stamp duty and other charges/ expenses in connection with execution of this Agreement shall be borne by Service Provider. \_\_\_\_\_ < tax payable by the Bank > or any other tax imposed by the Government in lieu of same shall be borne by the Bank on actual upon production of original receipt wherever required.

3.3 Service Provider shall provide a clear description quantifying the service element and goods element in the invoices generated by them.

### 3.4 Payments

3.4.1 The Bank will pay properly submitted valid invoices within reasonable period but not exceeding 30 (thirty) days after its receipt thereof. All payments shall be made in Indian Rupees.

3.4.2 The Bank may withhold payment of any product/services that it disputes in good faith and may set-off penalty amount or any other amount which Service Provider owes to the Bank against amount payable to Service Provider under this Agreement. However, before levying penalty or recovery of any damages, the Bank shall provide a written notice to Service Provider indicating the reasons for such penalty or recovery of damages. Service Provider shall have the liberty to present its case in writing together with documentary evidences, if any, within 21 (twenty one) days. Penalty or damages, if any, recoverable from Service Provider shall be recovered by the Bank through a credit note or revised invoices. In case Service Provider fails to issue credit note/ revised invoice, the Bank shall have right to withhold the payment or set-off penal amount from current invoices.

### 3.5 Bank Guarantee and Penalties

3.5.1 Service Provider shall furnish performance security in the form of Bank Guarantee for an amount of Rs. \_\_\_\_\_ valid for a period of \_\_\_\_\_ year(s) \_\_\_\_\_ month(s) from a Scheduled Commercial Bank other than State Bank of India in a format provided/ approved by the Bank.

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<sup>7</sup> Please determine the applicability of the taxes.

3.5.2 The Bank Guarantee is required to protect the interest of the Bank against delay in supply/installation and/or the risk of non-performance of Service Provider in respect of successful implementation of the project; or performance of the material or services sold; or breach of any terms and conditions of the Agreement, which may warrant invoking of Bank Guarantee.

3.5.3 If at any time during performance of the Contract, Service Provider shall encounter unexpected conditions impeding timely completion of the Services under the Agreement and performance of the services, Service Provider shall promptly notify the Bank in writing of the fact of the delay, its likely duration and its cause(s). As soon as practicable, after receipt of Service Provider's notice, the Bank shall evaluate the situation and may at its discretion extend Service Provider's time for performance, in which case the extension shall be ratified by the Parties by amendment of the Agreement.

3.5.4 Performance of the obligations under the Agreement shall be made by Service Provider in accordance with the time schedule<sup>8</sup> specified in this Agreement.

3.5.5 Service Provider shall be liable to pay penalty at the rate mentioned in Annexure 'F' in respect of any delay beyond the permitted period in providing the Services.

3.5.6 Subject to Clause 17 of this Agreement, any unexcused delay by Service Provider in the performance of its Contract obligations shall render this Agreement to be terminated.

3.5.7 No penalty shall be levied in case of delay(s) in deliverables or performance of the contract for the reasons solely and directly attributable to the Bank. On reaching the maximum of penalties specified the Bank reserves the right to terminate the Agreement.

#### **4. LIABILITIES/OBLIGATION**

4.1 The Bank's Duties /Responsibility (if any)

- (i) Processing and authorising invoices
- (ii) Approval of Information
- (iii) \_\_\_\_\_

4.2 Service Provider Duties

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<sup>8</sup> Please ensure that the time scheduled is suitably incorporated in the Agreement.

- (i) Service Delivery responsibilities
  - (a) To adhere to the service levels documented in this Agreement.
  - (b) Software solution provided and/or maintained by Service Provider shall be free from OWASP Top 10 vulnerabilities (latest) during the term of Agreement.
  - (c) Service provider shall ensure to filter all phishing / spamming / overflow attacks in order to ensure availability and integrity on continuous basis.
  - (d) Service Provider shall without any additional cost, rectify the vulnerabilities observed by the Bank during security review of Code. The Code shall be comprehensively reviewed periodically by the Bank or its authorized representative.
  - (e) Service Provider shall ensure that Service Provider's personnel and its sub-contractors (if allowed) will abide by all reasonable directives issued by the Bank, including those set forth in the Bank's then-current standards, policies and procedures (to the extent applicable), all on-site rules of behaviour, work schedules, security procedures and other standards, policies and procedures as established by the Bank from time to time.
  - (f) Service Provider agrees and declares that it shall be the sole responsibility of Service Provider to comply with the provisions of all the applicable laws, concerning or in relation to rendering of Services by Service Provider as envisaged under this Agreement.
  - (g) Service Provider shall be responsible to provide Data Dictionary in a format provided by the Bank. During the term of this Agreement, such a format may be revised by the Bank as per the requirements. Service Provider shall capture all the fields in Data Dictionary format and keep the same always updated during the term of this Agreement.
  - (h) Service Provider shall report the incidents, including cyber incidents and those resulting in disruption of service and data loss/ leakage immediately but not later than one hour of detection.
  - (i) The Service Provider shall execute Data Processing Agreement on the format attached as Appendix-H to this RFP. < This term is applicable where the activities for which selection of Vendor/ outsourcing of activities involve access/sharing/transfer of Personal Data/PII of EU/UK NRI customers. STRIKE OFF, IF NOT APPLICABLE.>

(j) Service Provider shall abide by the provisions of the DPD Act, 2023 - 11th August, 2023; CG-DL-E-12082023-248045 as and when the relevant rules and guidelines come into force.

(ii) Security Responsibility

(a) To maintain the confidentiality of the Bank's resources and other intellectual property rights.

(b) \_\_\_\_\_

## 5. REPRESENTATIONS & WARRANTIES

5.1 Service Provider warrants that the technical quality and performance of the Services provided will be consistent with the mutually agreed standards. Warranty shall be for a period of (6)six years from the date of acceptance.

5.2 Any defect found will be evaluated mutually to establish the exact cause of the defect. Bank may have direct and separate agreement with Service Provider to provide technical support to the Bank for related deficiencies.><sup>9</sup>

5.3 Service Provider warrants that at the time of delivery the Software or its component is free from malware, free from any obvious bugs, and free from any covert channels in the code (of the versions of the applications/software being delivered as well as any subsequent versions/modifications delivered).

5.4 Service Provider represents and warrants that its personnel shall be present at the Bank premises or any other place as the Bank may direct, only for the Services and follow all the instructions provided by the Bank; Act diligently, professionally and shall maintain the decorum and environment of the Bank; Comply with all occupational, health or safety policies of the Bank.

5.5 Service Provider warrants that it shall be solely liable and responsible for compliance of applicable Labour Laws in respect of its employee, agents, representatives and sub-contractors (if allowed) and in particular laws relating to terminal benefits such as pension, gratuity, provident fund, bonus or other benefits to which they may be entitled and the laws relating to contract labour, minimum wages, etc., and the Bank shall have no liability in this regard.

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<sup>9</sup>Please note the following clause can be kept only when there is a Separate Technical support agreement.

- 5.6 Each Party represents and warrants that it has all requisite power and authorization to enter into and perform this Agreement and that nothing contained herein or required in the performance hereof conflict or will conflict with or give rise to a breach or default under, or permit any person or entity to terminate, any contract or instrument to which the party is bound.
- 5.7 Service Provider warrants that it has full right, title and interest in and to all software, copyrights, trade names, trademarks, service marks, logos symbols and other proprietary marks (collectively 'IPR') owned by it (including appropriate limited right of use of those owned by any of its vendors, affiliates or subcontractors) which it provides to the Bank, for use related to the Services to be provided under this Agreement.
- 5.8 Service Provider shall perform the Services and carry out its obligations under the Agreement with due diligence, efficiency and economy, in accordance with generally accepted techniques and practices used in the industry and with professional standards recognized by international professional bodies and shall observe sound management practices. It shall employ appropriate advanced technology and safe and effective equipment, machinery, material and methods.
- 5.9 Service Provider has the requisite technical and other competence, sufficient, suitable, qualified and experienced manpower/personnel and expertise in providing the Services to the Bank.
- 5.10 Service Provider shall duly intimate to the Bank immediately, the changes, if any in the constitution of Service Provider.
- 5.11 Service Provider warrants that to the best of its knowledge, as on the Effective Date of this Agreement, the Software does not violate or infringe any patent, copyright, trademarks, trade secrets or other Intellectual Property Rights of any third party.
- 5.12 Service Provider shall ensure that all persons, employees, workers and other individuals engaged by or sub-contracted (if allowed) by Service Provider in rendering the Services under this Agreement have undergone proper background check, police verification and other necessary due diligence checks to examine their antecedence and ensure their suitability for such engagement. No person shall be engaged by Service Provider unless such person is found to be suitable in such verification and Service Provider shall retain the records of such verification and shall produce the same to the Bank as when requested.

5.13 During the Warranty Period if any software or any component thereof is supplied by Service Provider is inoperable or suffers degraded performance not due to causes external to the software, Service provider shall, at the Bank's request, promptly replace the software or specified component with new software of the same type and quality. Such replacement shall be accomplished without any adverse impact on the Bank's operations within agreed time frame.

5.14 \_\_\_\_\_ *any other additional warranty can be incorporated*>

## 6. GENERAL INDEMNITY

6.1 Service provider agrees and hereby keeps the Bank indemnified against all claims, actions, loss, damages, costs, expenses, charges, including legal expenses (Attorney, Advocates fees included) which the Bank may suffer or incur on account of (i) Service Provider's breach of its warranties, covenants, responsibilities or obligations; or (ii) breach of confidentiality obligations mentioned in this Agreement; or (iii) any willful misconduct and gross negligent acts on the part of employees, agents, representatives or sub-contractors (if allowed) of Service Provider. Service provider agrees to make good the loss suffered by the Bank.

6.2 Service provider hereby undertakes the responsibility to take all possible measures, at no cost, to avoid or rectify any issues which thereby results in non-performance of software within reasonable time. The Bank shall report as far as possible all material defects to Service provider without undue delay. Service provider also undertakes to co-operate with other service providers thereby ensuring expected performance covered under scope of work.

## 7. CONTINGENCY PLANS

Service provider shall arrange and ensure proper data recovery mechanism, attrition plan and other contingency plans to meet any unexpected obstruction to Service Provider or any employees or sub-contractors (if allowed) of Service Provider in rendering the Services or any part of the same under this Agreement to the Bank. Service Provider at Banks discretion shall co-operate with the bank in case on any contingency.

## 8. **TRANSITION REQUIREMENT**

In the event of failure of Service Provider to render the Services or in the event of termination of Agreement or expiry of term or otherwise, without prejudice to any other right, the Bank at its sole discretion may make alternate arrangement for getting the Services contracted with another vendor. In such case, the Bank shall give prior notice to the existing Service Provider. The existing Service Provider shall continue to provide services as per the terms of the Agreement until a 'New Service Provider' completely takes over the work. During the transition phase, the existing Service Provider shall render all reasonable assistance to the new Service Provider within such period prescribed by the Bank, at no extra cost to the Bank, for ensuring smooth switch over and continuity of Services, provided where transition services are required by the Bank or New Service Provider beyond the term of this Agreement, reasons for which are not attributable to Service Provider, payment shall be made to Service Provider for such additional period on the same rates and payment terms as specified in this Agreement. If existing vendor is breach of this obligation, they shall be liable for paying a penalty of Rs. \_\_\_\_\_ on demand to the Bank, which may be settled from the payment of invoices or bank guarantee for the contracted period. Transition & Knowledge Transfer plan is mentioned in Annexure G.

## 9. **LIQUIDATED DAMAGES**

If Service Provider fails to deliver product and/or perform any or all the Services within the stipulated time, schedule as specified in this Agreement, the Bank may, without prejudice to its other remedies under the Agreement, and unless otherwise extension of time is agreed upon without the application of liquidated damages, deduct from the Project Cost, as liquidated damages a sum equivalent to \_\_\_\_% of total Project cost for delay of each week or part thereof maximum up to \_\_\_\_% of total Project cost. Once the maximum deduction is reached, the Bank may consider termination of the Agreement.

## 10. **RELATIONSHIP BETWEEN THE PARTIES**

10.1 It is specifically agreed that Service Provider shall act as independent service provider and shall not be deemed to be the Agent of the Bank except in respect of the transactions/services which give rise to Principal - Agent relationship by express agreement between the Parties.

- 10.2 Neither Service Provider nor its employees, agents, representatives, Sub-Contractors shall hold out or represent as agents of the Bank.
- 10.3 None of the employees, representatives or agents of Service Provider shall be entitled to claim any absorption or any other claim or benefit against the Bank.
- 10.4 This Agreement shall not be construed as joint venture. Each Party shall be responsible for all its obligations towards its respective employees. No employee of any of the two Parties shall claim to be employee of other Party.
- 10.5 All the obligations towards the employee(s) of a Party on account of personal accidents while working in the premises of the other Party shall remain with the respective employer and not on the Party in whose premises the accident occurred unless such accidents occurred due to gross negligent act of the Party in whose premises the accident occurred.
- 10.6 For redressal of complaints of sexual harassment at workplace, Parties agree to comply with the policy framed by the Bank (including any amendment thereto) in pursuant to the Sexual Harassment of Women at Workplace (Prevention, Prohibition and Redressal) Act, 2013 including any amendment thereto.

## **11. SUB CONTRACTING**

As per the scope of this Agreement sub-contracting is not permitted.

## **12. INTELLECTUAL PROPERTY RIGHTS**

- 12.1 For any technology / Software / solution developed/used/supplied by Service provider for performing Services or licensing and implementing Software and solution for the Bank as part of this Agreement, Service Provider shall have right to use as well right to license for the outsourced services or third party product. The Bank shall not be liable for any license or IPR violation on the part of Service Provider.
- 12.2 Without the Bank's prior written approval, Service provider will not, in performing the Services, use or incorporate, link to or call or depend in any way upon, any software or other intellectual property that is subject to an Open Source or Copy-left license or any other agreement that may give rise to any third-party claims or to limit the Bank's rights under this Agreement.
- 12.3 Subject to below mentioned sub-clause 12.4 and 12.5 of this Agreement, Service Provider shall, at its own expenses without any limitation, indemnify and keep fully

and effectively indemnified the Bank against all cost, claims, damages, demands, expenses and liabilities whatsoever nature arising out of or in connection with all claims of infringement of Intellectual Property Right, including patent, trademark, copyright, trade secret or industrial design rights of any third party arising from use of the technology / Software / products or any part thereof in India or abroad, for Software licensed/developed as part of this engagement. In case of violation/ infringement of patent/ trademark/ copyright/ trade secret or industrial design or any other Intellectual Property Right of third party, Service Provider shall, after due inspection and testing, without any additional cost (a) procure for the Bank the right to continue to using the Software supplied; or (b) replace or modify the Software to make it non-infringing so long as the replacement to or modification of Software provide substantially equivalent functional, performance and operational features as the infringing Software which is being replaced or modified; or (c) to the extent that the activities under clauses (a) and (b) above are not commercially reasonable, refund to the Bank all amounts paid by the Bank to Service Provider under this Agreement.

12.4 The Bank will give (a) notice to Service provider of any such claim without delay/provide reasonable assistance to Service provider in disposing of the claim; (b) sole authority to defend and settle such claim and; (c) will at no time admit to any liability for or express any intent to settle the claim provided that (i) Service Provider shall not partially settle any such claim without the written consent of the Bank, unless such settlement releases the Bank fully from such claim, (ii) Service Provider shall promptly provide the Bank with copies of all pleadings or similar documents relating to any such claim, (iii) Service Provider shall consult with the Bank with respect to the defense and settlement of any such claim, and (iv) in any litigation to which the Bank is also a party, the Bank shall be entitled to be separately represented at its own expenses by counsel of its own selection..

12.5 Service Provider shall have no obligations with respect to any infringement claims to the extent that the infringement claim arises or results from: (i) Service Provider's compliance with the Bank's specific technical designs or instructions (except where Service Provider knew or should have known that such compliance was likely to result in an Infringement Claim and Service Provider did not inform the Bank of the same); (ii) any unauthorized modification or alteration of the Software by the Bank; or (iii) failure to implement an update to the licensed software that would have avoided the

infringement, provided Service Provider has notified the Bank in writing that use of the update would have avoided the claim.

- 12.6 Service provider hereby grants the Bank a *fully paid-up, irrevocable, unlimited, perpetual, non-exclusive/exclusive license* throughout the territory of India or abroad to access, replicate, modify and use Software licensed/developed including its upgraded versions available during the term of this Agreement by Service provider as part of this engagement, including all inventions, designs and trademarks embodied therein perpetually.
- 12.7 Software licensed/developed as part of this Agreement can be put to use in all offices of the Bank.

### **13. INSTALLATION**

Service provider will install the software/support the Bank in installation of the software developed into the Bank's production, disaster recovery, testing and training environment, if required.

### **14. INSPECTION AND AUDIT**

- 14.1 It is agreed by and between the parties that Service Provider shall be subject to annual audit by internal/external Auditors appointed by the Bank/ inspecting official from the Reserve Bank of India or any regulatory authority, covering the risk parameters finalized by the Bank/ such auditors in the areas of products (IT hardware/ Software) and services etc. provided to the Bank and Service Provider shall submit such certification by such Auditors to the Bank. Service Provider and or his / their outsourced agents /sub – contractors (if allowed by the Bank) shall facilitate the same. The Bank can make its expert assessment on the efficiency and effectiveness of the security, control, risk management, governance system and process created by Service Provider. Service Provider shall, whenever required by such Auditors, furnish all relevant information, records/data to them. All costs for such audit shall be borne by the Bank. Except for the audit done by Reserve Bank of India or any statutory/regulatory authority, the Bank shall provide reasonable notice not less than 7 (seven) days to Service Provider before such audit and same shall be conducted during normal business hours.

- 14.2 Where any Deficiency has been observed during audit of Service Provider on the risk parameters finalized by the Bank or in the certification submitted by the Auditors, it is agreed upon by Service Provider that it shall correct/ resolve the same at the earliest and shall provide all necessary documents related to resolution thereof and the auditor shall further certify in respect of resolution of the Deficiencies. It is also agreed that Service Provider shall provide certification of the auditor to the Bank regarding compliance of the observations made by the auditors covering the respective risk parameters against which such Deficiencies observed.
- 14.3 Service Provider further agrees that whenever required by the Bank, it will furnish all relevant information, records/data to such auditors and/or inspecting officials of the Bank/ Reserve Bank of India and/or any regulatory authority (ies). The Bank reserves the right to call for and/or retain any relevant information/ audit reports on financial and security review with their findings undertaken by Service Provider. However, Service Provider shall not be obligated to provide records/data not related to Services under the Agreement (e.g. internal cost break-ups etc.).
- 14.4 Service Provider shall grants unrestricted and effective access to a) data related to the Services; b) the relevant business premises of the Service Provider; subject to appropriate security protocols, for the purpose of effective oversight use by the Bank, their auditors, regulators and other relevant Competent Authorities, as authorised under law.

## **15. CONFIDENTIALITY**

- 15.1 “Confidential Information” mean all information which is material to the business operations of either party or its affiliated companies, designated as being confidential or which, under the circumstances surrounding disclosure out to be treated as confidential, in any form including, but not limited to, proprietary information and trade secrets, whether or not protected under any patent, copy right or other intellectual property laws, in any oral, photographic or electronic form, whether contained on computer hard disks or floppy diskettes or otherwise without any limitation whatsoever. Without prejudice to the generality of the foregoing, the Confidential Information shall include all information about the party and its customers, costing and technical data, studies, consultants reports, financial information, computer models and programs, software Code, contracts, drawings, blue prints, specifications,

operating techniques, processes, models, diagrams, data sheets, reports and other information with respect to any of the foregoing matters. All and every information received by the parties and marked confidential hereto shall be assumed to be confidential information unless otherwise proved. It is further agreed that the information relating to the Bank and its customers is deemed confidential whether marked confidential or not.

- 15.2 All information relating to the accounts of the Bank's customers shall be confidential information, whether labeled as such or otherwise.
- 15.3 All information relating to the infrastructure and Applications (including designs and processes) shall be deemed to be Confidential Information whether labeled as such or not. Service provider personnel/resources responsible for the project are expected to take care that their representatives, where necessary, have executed a Non-Disclosure Agreement to comply with the confidential obligations under this Agreement.
- 15.4 Each party agrees that it will not disclose any Confidential Information received from the other to any third parties under any circumstances without the prior written consent of the other party unless such disclosure of Confidential Information is required by law, legal process or any order of any government authority. Service provider, in this connection, agrees to abide by the laws especially applicable to confidentiality of information relating to customers of Banks and the banks per-se, even when the disclosure is required under the law. In such event, the Party must notify the other Party that such disclosure has been made in accordance with law; legal process or order of a government authority.
- 15.5 Each party, including its personnel, shall use the Confidential Information only for the purposes of achieving objectives set out in this Agreement. Use of the Confidential Information for any other purpose shall constitute breach of trust of the same.
- 15.6 Each party may disclose the Confidential Information to its personnel solely for the purpose of undertaking work directly related to the Agreement. The extent of Confidential Information disclosed shall be strictly limited to what is necessary for those particular personnel to perform his/her duties in connection with the Agreement. Further each Party shall ensure that each personnel representing the respective party agree to be bound by obligations of confidentiality no less restrictive than the terms of this Agreement.

15.7 The non-disclosure obligations herein contained shall not be applicable only under the following circumstances:

- (i) Where Confidential Information comes into the public domain during or after the date of this Agreement otherwise than by disclosure by receiving party in breach of the terms hereof.
- (ii) Where any Confidential Information was disclosed after receiving the written consent of disclosing party.
- (iii) Where receiving party is requested or required by law or by any Court or governmental agency or authority to disclose any of the Confidential Information, then receiving party will provide the other Party with prompt notice of such request or requirement prior to such disclosure.
- (iv) Where any Confidential Information was received by the receiving party from a third party which does not have any obligations of confidentiality to the other Party.
- (v) Where Confidential Information is independently developed by receiving party without any reference to or use of disclosing party's Confidential Information.

15.8 Receiving party undertakes to promptly notify disclosing party in writing any breach of obligation of the Agreement by its employees or representatives including confidentiality obligations. Receiving party acknowledges that monetary damages may not be the only and / or a sufficient remedy for unauthorized disclosure of Confidential Information and that disclosing party shall be entitled, without waiving any other rights or remedies, to injunctive or equitable relief as may be deemed proper by a Court of competent jurisdiction.

15.9 Service Provider shall not, without the Bank's prior written consent, make use of any document or information received from the Bank except for purposes of performing the services and obligations under this Agreement.

15.10 Any document received from the Bank shall remain the property of the Bank and shall be returned (in all copies) to the Bank on completion of Service Provider's performance under the Agreement.

15.11 Upon expiration or termination of the Agreement, all the Bank's proprietary documents, customized programs partially or wholly completed and associated documentation, or the Bank's materials which are directly related to any project under the Agreement shall be delivered to the Bank or at the Bank's written instruction

destroyed, and no copies shall be retained Service provider without the Bank's written consent.

15.12 The foregoing obligations (collectively referred to as "Confidentiality Obligations") set out in this Agreement shall survive the term of this Agreement and for a period of five (5) years thereafter provided Confidentiality Obligations with respect to individually identifiable information, customer's data of Parties or software in human-readable form (e.g., source code) shall survive in perpetuity.

## **16. OWNERSHIP**

16.1 Service Provider will provide Source Code for every version of the Software supplied or customized/developed specifically for the Bank, without any cost to the Bank, and it will be treated as the property of the Bank.

16.2 The Source Code /Object Code /executable code and compilation procedures of the Software solution made under this Agreement are the proprietary property of the Bank and as such Service provider shall make them available to the Bank after successful User Acceptance Testing.

16.3 Service Provider agrees that the Bank owns the entire right, title and interest to any inventions, designs, discoveries, writings and works of authorship, including all Intellectual Property Rights, copyrights. Any work made under this Agreement shall be deemed to be 'work made for hire' under any Indian/U.S. or any other applicable copyright laws.

16.4 Service Provider shall ensure proper change management process covering impact assessment, requirement and solution documents detailing changes made to the Software for any work order, in addition to enabling the programmers identify and track the changes made to the source code. The Source Code will be delivered in appropriate version control tool maintained at the Bank's on site location.

16.5 Service Provider shall adhere to revision control procedure of the Bank to maintain required documentation and configuration files as well as Source Code. Necessary backup and restoration of the revision control software related information will be handled by the service team as per the approved backup policy of the Bank.

16.6 For each application developed by Service Provider on Software, including third party software before the platform become operational, Service Provider shall deliver all documents to the Bank, which include coding standards, user manuals, installation

manuals, operation manuals, design documents, process documents, technical manuals, and other documents, if any, as per work order.

- 16.7 Service Provider shall also provide documents related to Review Records/ Test Bug Reports/ Root Cause Analysis Report, details and documentation of all product components, details and documentation of all dependent/ external modules and all documents relating to traceability of the Software supplied/ customized under this Agreement before its production release.
- 16.8 All Software programs supplied/developed, program documentation, system documentation and testing methodologies along with all other information and documents (other than tools being proprietary to Service Provider) and used for customized Software development shall be the exclusive property of the Bank.
- 16.9 The Intellectual Property Rights on the Software Code, copyright and source code for various applications/ interfaces developed under this Agreement, and any other component/ framework/ middleware used/ developed as pre-built software assets to deliver the solution, shall belong to the Bank and the Bank shall have complete and unrestricted rights on such property. However, Service Provider shall hold All Intellectual Property rights in any pre-built software *per se*, except for those which have been assigned under this Agreement.
- 16.10 All information processed by Service Provider during Software development/ customization, implementation & maintenance belongs to the Bank. Service Provider shall not acquire any other right in respect of the information for the license to the rights owned by the Bank. Service Provider will implement mutually agreed controls to protect the information. Service Provider also agrees that it will protect the information appropriately.

**17. SOURCE CODE ESCROW AGREEMENT<sup>10</sup>**

- 17.1 Service Provider shall deposit the source code of the Software and everything required to independently maintain the Software, to the source code escrow account and agrees to everything mentioned in source code escrow agreement.
- 17.2 Service provider shall deposit the latest version of source code in escrow account at regular intervals as mentioned in source code escrow agreement.
- 17.3 The Bank shall have the right to get the source code released and will receive no opposition/hindrances from the escrow agent and Service provider under the following conditions:-
- (i) In the event wherein Service provider files a voluntary petition in bankruptcy or insolvency or has been otherwise declared Insolvent/Bankrupt; or
  - (ii) In the event wherein Service provider has declared its expressed/written unwillingness to fulfill his contractual obligations under this Agreement; or
  - (iii) Service Provider is wound up, or ordered wound up, or has a winding up petition ordered against it, or assigns all or a substantial part of its business or assets for the benefit of creditors, or permits the appointment of a receiver for the whole or substantial part of its business or assets, or otherwise ceases to conduct its business in the normal course; or
  - (iv) Service Provider discontinues business because of insolvency or bankruptcy, and no successor assumes Service Provider's Software maintenance obligations or obligations mentioned in the Agreement; or
  - (v) Service Provider dissolves or ceases to function as a going concern or to conduct its operation in the normal course of business or intends and conveys its intention to do so; or
  - (vi) Any other release condition as specified in source code escrow agreement.
- 17.4 Service provider agrees to bear the payment of fees due to the escrow agent.
- 17.5 The escrow agreement shall ipso-facto would get terminated on delivery of source code to either of the parties upon the terms & conditions mentioned in source code escrow agreement.

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<sup>10</sup> This agreement is to be made wherein ownership over the Software is not provided. The user department has to delete inapplicable para from clause 16 (Ownership and Escrow Agreement).

## 18. TERMINATION

18.1 The Bank may, without prejudice to any other remedy for breach of Agreement, by written notice of not less than 30 (thirty) days, terminate the Agreement in whole or in part:

- (e) If Service Provider fails to deliver any or all the obligations within the time period specified in the Agreement, or any extension thereof granted by the Bank;
- (f) If Service Provider fails to perform any other obligation(s) under the Agreement;
- (g) Violations of any terms and conditions stipulated in the RFP;
- (h) On happening of any termination event mentioned herein above in this Agreement.

Prior to providing a written notice of termination to Service Provider under above mentioned sub-clause (i) to (iii), the Bank shall provide Service Provider with a written notice of 30 (thirty) days to cure such breach of the Agreement. If the breach continues or remains unrectified after expiry of cure period, the Bank shall have right to initiate action in accordance with above clause.

18.2 The Bank, by written notice of not less than 90 (ninety) days, may terminate the Agreement, in whole or in part, for its convenience, provided same shall not be invoked by the Bank before completion of half of the total Contract period (including the notice period). In the event of termination of the Agreement for the Bank's convenience, Service Provider shall be entitled to receive payment for the Services rendered (delivered) up to the effective date of termination.

18.3 In the event the bank terminates the Agreement in whole or in part for the breaches attributable to Service Provider, the Bank may procure, upon such terms and in such manner, as it deems appropriate, software or services similar to those undelivered and subject to clause 21 Service Provider shall be liable to the Bank for any excess costs for such similar software or services. However, Service provider, in case of part termination, shall continue the performance of the Agreement to the extent not terminated.

18.4 The Bank shall have a right to terminate the Agreement immediately by giving a notice in writing to Service Provider in the following eventualities:

- (i) If any Receiver/Liquidator is appointed in connection with the business of Service Provider or Service Provider transfers substantial assets in favour of its creditors or any orders / directions are issued by any Authority / Regulator which has the effect of suspension of the business of Service Provider.
- (ii) If Service Provider applies to the Court or passes a resolution for voluntary winding up of or any other creditor / person files a petition for winding up or dissolution of Service Provider.
- (iii) If any acts of commission or omission on the part of Service Provider or its agents, employees, sub-contractors or representatives, in the reasonable opinion of the Bank tantamount to fraud or prejudicial to the interest of the Bank or its employees.
- (iv) Any document, information, data or statement submitted by Service Provider in response to RFP, based on which Service Provider was considered eligible or successful, is found to be false, incorrect or misleading.

18.5 In the event of the termination of the Agreement Service Provider shall be liable and responsible to return to the Bank all records, documents, data and information including Confidential Information pertains to or relating to the Bank in its possession.

18.6 In the event of termination of the Agreement for material breach, Bank shall have the right to report such incident in accordance with the mandatory reporting obligations under the applicable law or regulations.

18.7 Upon termination or expiration of this Agreement, all rights and obligations of the Parties hereunder shall cease, except such rights and obligations as may have accrued on the date of termination or expiration; the obligation of indemnity; obligation of payment ;confidentiality obligation; Governing Law clause; Dispute resolution clause; and any right which a Party may have under the applicable Law.

## **19. DISPUTE REDRESSAL MACHANISM & GOVERNING LAW**

19.1 All disputes or differences whatsoever arising between the parties out of or in connection with this Agreement (including dispute concerning interpretation) or in discharge of any obligation arising out of the Agreement (whether during the progress of work or after completion of such work and whether before or after the termination of this Agreement, abandonment or breach of this Agreement), shall be settled amicably.

- 19.2 If the parties are not able to solve them amicably within 30 (thirty) days after dispute occurs as evidenced through the first written communication from any Party notifying the other regarding the disputes, either Party [the Bank or Service Provider] shall give written notice to other party clearly setting out there in, specific dispute(s) and/or difference(s), and shall be referred to a sole arbitrator mutually agreed upon, and the award made in pursuance thereof shall be binding on the Parties.
- 19.3 In the absence of consensus about the single arbitrator, the dispute may be referred to an arbitration panel; one to be nominated by each Party and the said arbitrators shall nominate a presiding arbitrator, before commencing the arbitration proceedings. The arbitration shall be settled in accordance with the applicable Indian Laws and the arbitration shall be conducted in accordance with the Arbitration and Conciliation Act, 1996.
- 19.4 Service Provider shall continue work under the Agreement during the arbitration proceedings, unless otherwise directed by the Bank or unless the matter is such that the work cannot possibly be continued until the decision of the arbitrator is obtained.
- 19.5 Arbitration proceeding shall be held at **Mumbai**, India, and the language of the arbitration proceedings and that of all documents and communications between the parties shall be in English.
- 19.6 This Agreement shall be governed by laws in force in India. Subject to the arbitration clause above, all disputes arising out of or in relation to this Agreement, shall be subject to the exclusive jurisdiction of the courts at **Mumbai** only.
- 19.7 In case of any change in applicable laws that has an effect on the terms of this Agreement, the Parties agree that the Agreement may be reviewed, and if deemed necessary by the Parties, make necessary amendments to the Agreement by mutual agreement in good faith, in case of disagreement obligations mentioned in this clause shall be observed.

## **20. POWERS TO VARY OR OMIT WORK**

- 20.1 No alterations, amendments, omissions, additions, suspensions or variations of the work (hereinafter referred to as variation) under the Agreement shall be made by Service provider except as directed in writing by Bank. The Bank shall have full powers, subject to the provision herein after contained, from time to time during the execution of the Agreement, by notice in writing to instruct Service Provider to make

any variation without prejudice to the Agreement. Service Provider shall carry out such variations and be bound by the same conditions, though the said variations occurred in the Agreement documents. If any suggested variations would, in the opinion of Service Provider, if carried out, prevent them from fulfilling any of their obligations under the Agreement, they shall notify the Bank, thereof, in writing with reasons for holding such opinion and Bank shall instruct Service Provider to make such other modified variation without prejudice to the Agreement. Service Provider shall carry out such variations and be bound by the same conditions, though the said variations occurred in the Agreement documents. If Bank confirms their instructions Service Provider's obligations will be modified to such an extent as may be mutually agreed. If such variation involves extra cost, any agreed difference in cost occasioned by such variation shall be mutually agreed between the parties. In any case in which Service Provider has received instructions from the Bank as to the requirement of carrying out the altered or additional substituted work, which either then or later on, will in the opinion of Service Provider, involve a claim for additional payments, such additional payments shall be mutually agreed in line with the terms and conditions of the order.

20.2 If any change in the work is likely to result in reduction in cost, the parties shall agree in writing so as to the extent of reduction in payment to be made to Service Provider, before Service provider proceeding with the change.

## **21. WAIVER OF RIGHTS**

Each Party agrees that any delay or omission on the part of the other Party to exercise any right, power or remedy under this Agreement will not automatically operate as a waiver of such right, power or remedy or any other right, power or remedy and no waiver will be effective unless it is in writing and signed by the waiving Party. Further the waiver or the single or partial exercise of any right, power or remedy by either Party hereunder on one occasion will not be construed as a bar to a waiver of any successive or other right, power or remedy on any other occasion.

## **22. LIMITATION OF LIABILITY**

- 22.1 The maximum aggregate liability of Service Provider, subject to below mentioned sub-clause 21.3, in respect of any claims, losses, costs or damages arising out of or in connection with this Agreement shall not exceed the total Project Cost.
- 22.2 Under no circumstances shall either Party be liable for any indirect, consequential or incidental losses, damages or claims including loss of profit, loss of business or revenue.
- 22.3 The limitations set forth in abovementioned sub-Clause 21.1 shall not apply with respect to:
- (i) claims that are the subject of indemnification pursuant to Clause 12<sup>11</sup> (infringement of third party Intellectual Property Right);
  - (ii) damage(s) occasioned by the Gross Negligence or Willful Misconduct of Service Provider;
  - (iii) damage(s) occasioned by Service Provider for breach of Confidentiality Obligations ;
  - (iv) Regulatory or statutory fines imposed by a Government or Regulatory agency for non-compliance of statutory or regulatory guidelines applicable to the Bank, provided such guidelines were brought to the notice of Service Provider.

For the purpose of above mentioned sub-clause 21.3(ii) “Gross Negligence” means any act or failure to act by a party which was in reckless disregard of or gross indifference to the obligation of the party under this Agreement and which causes injury, damage to life, personal safety, real property, harmful consequences to the other party, which such party knew, or would have known if it was acting as a reasonable person, would result from such act or failure to act for which such Party is legally liable. Notwithstanding the forgoing, Gross Negligence shall not include any action taken in good faith. “Willful Misconduct” means any act or failure to act with an intentional disregard of any provision of this Agreement, 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

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<sup>11</sup> Please see Clause 12 ‘IPR Indemnification’

to the other party, but shall not include any error of judgment or mistake made in good faith.

## **23. FORCE MAJEURE**

- 23.1 Notwithstanding anything else contained in the Agreement, neither Party shall be liable for any delay in performing its obligations herein if and to the extent that such delay is the result of an event of Force Majeure.
- 23.2 For the purposes of this clause, 'Force Majeure' means and includes wars, insurrections, revolution, civil disturbance, riots, terrorist acts, public strikes, hartal, bundh, fires, floods, epidemic, quarantine restrictions, freight embargoes, declared general strikes in relevant industries, Vis Major, acts of Government in their sovereign capacity, impeding reasonable performance of Service Provider and /or sub-contractor but does not include any foreseeable events, commercial considerations or those involving fault or negligence on the part of the party claiming Force Majeure.
- 23.3 If Force Majeure situation arises, the non-performing Party shall promptly notify to the other Party in writing of such conditions and the cause(s) thereof. Unless otherwise agreed in writing, the non-performing Party shall continue to perform its obligations under the Agreement as far as is reasonably practical, and shall seek all reasonable alternative means for performance not prevented by the Force Majeure event.
- 23.4 If the Force Majeure situation continues beyond 30 (thirty) days, either Party shall have the right to terminate the Agreement by giving a notice to the other Party. Neither Party shall have any penal liability to the other in respect of the termination of this Agreement as a result of an event of Force Majeure. However, Service Provider shall be entitled to receive payments for all services actually rendered up to the date of the termination of this Agreement.

## **24. NOTICES**

- 24.1 Any notice or any other communication required to be given under this Agreement shall be in writing and may be given by delivering the same by hand or sending the same by prepaid registered mail, postage prepaid, telegram or facsimile to the relevant address set forth below or such other address as each Party may notify in writing to the other Party from time to time. Any such notice given as aforesaid shall be deemed to

be served or received at the time upon delivery (if delivered by hand) or upon actual receipt (if given by postage prepaid, telegram or facsimile).

24.2 A notice shall be effective when it is delivered or on the effective date of the notice, whichever is later.

24.3 The addresses for Communications to the Parties are as under.

(a) In the case of the Bank

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

(b) In case of Service Provider

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

24.4 In case there is any change in the address of one Party, it shall be promptly communicated in writing to the other Party.

**25. GENERAL TERMS & CONDITIONS**

25.1 TRAINING: Service Provider shall train designated Bank officials on the configuration, operation/ functionalities, maintenance, support & administration for Software, application architecture and components, installation, troubleshooting processes of the proposed Services as mentioned in this Agreement .

25.2 PUBLICITY: Service Provider may make a reference of the Services rendered to the Bank covered under this Agreement on Service provider’s Web Site or in their sales presentations, promotional materials, business plans or news releases etc., only after prior written approval from the Bank.

25.3 SUCCESSORS AND ASSIGNS: This Agreement shall bind and inure to the benefit of the Parties, and their respective successors and permitted assigns.

25.4 NON-HIRE AND NON-SOLICITATION: During the term of this Agreement and for a period of one year thereafter, neither Party shall (either directly or indirectly through a third party) employ, solicit to employ, cause to be solicited for the purpose of employment or offer employment to any employee(s) of the other Party, or aid any third person to do so, without the specific written consent of the other Party. However,

nothing in this clause shall affect the Bank's regular recruitments as per its recruitment policy and not targeted to the employees of Service provider.

25.5 SEVERABILITY: The invalidity or unenforceability of any provision of this Agreement shall not in any way effect, impair or render unenforceable this Agreement or any other provision contained herein, which shall remain in full force and effect.

25.6 MODIFICATION: This Agreement may not be modified or amended except in writing signed by duly authorized representatives of each Party with express mention thereto of this Agreement.

25.7 ENTIRE AGREEMENT: The following documents along with all addenda issued thereto shall be deemed to form and be read and construed as integral part of this Agreement and in case of any contradiction between or among them the priority in which a document would prevail over another would be as laid down below beginning from the highest priority to the lowest priority:

- (i) This Agreement;
- (ii) Annexure of Agreement;
- (iii) Purchase Order No. \_\_\_\_\_ dated \_\_\_\_\_; and
- (iv) RFP

25.8 PRIVACY: Neither this Agreement nor any provision hereof is intended to confer upon any person/s other than the Parties to this Agreement any rights or remedies hereunder.

25.9 DUE AUTHORISATION: Each of the undersigned hereby represents to the other that she/ he is authorized to enter into this Agreement and bind the respective parties to this Agreement.

25.10 COUNTERPART: This Agreement may be executed in duplicate and each copy is treated as original for all legal purposes.

IN WITNESS WHEREOF, the Parties hereto have caused this Agreement to be executed by their duly authorized representatives as of the date and day first mentioned above.

**State Bank of India**

\_\_\_\_\_ **Service Provider**

**By:**  
**Name:**  
**Designation:**  
**Date:**

**By:**  
**Name:**  
**Designation:**  
**Date:**

WITNESS:

- |    |    |
|----|----|
| 1. | 1. |
| 2. | 2. |

**ANNEXURE-A**

**DELIVERABLES/SCOPE OF WORK**

1. Description of Deliverables:

*[Identify each individual component of the Deliverables, including equipment and software, by name and version.]*

2. Specifications, Performance Standards, and Functional Requirements:

*[Include here all of the specifications, performance standards, and functional requirements for the Deliverables that are important to the Bank. Be certain to include run and operator response times (if applicable) which are part of the Acceptance criteria discussed in this agreement.]*

2.1 *Service Provider undertakes and warrants to provide technical support with resolution time frame as per the matrix given below:*

| <i>Severity</i>          | <i>Description</i> | <i>Response Time</i> | <i>Resolution time</i> |
|--------------------------|--------------------|----------------------|------------------------|
| <i>Critical</i>          |                    |                      |                        |
| <i>High/Major</i>        |                    |                      |                        |
| <i>Medium/</i>           |                    |                      |                        |
| <i>Low/Minor</i>         |                    |                      |                        |
| <i>Very Low/Cosmetic</i> |                    |                      |                        |

3. Documentation:

*[Identify here all user manuals and other documentation concerning the Software.]*

4. Place of Service<sup>12</sup>

|    |       |
|----|-------|
| 1. | _____ |
| 2. | _____ |

<sup>12</sup>Brief description of place of service

5. Standard Services

Standard services to be delivered under this agreement are illustratively listed below:-

*The details of services, their responsibilities and availability to be described----*

- 1.....
- 2.....

6. Maintenance/ Upgrades

6.1 Service Provider shall maintain and upgrade the Software during the warranty and support period so that the Software shall, at all times during the warranty and support period, meet or exceed the specifications in the Project Documents and the performance requirements as set forth in this Agreement. Service provider shall, at no cost to the Bank, promptly correct any and all errors, Deficiencies and defects in the Software.

6.2 Service Provider shall have the operational maintenance obligations (e.g., telephone support, problem resolution, on-site services) as mentioned in Annexure A. *<kindly add operational maintenance obligation with deliverables>*

7. Correction of Deficiencies in Deliverables

7.1 If Service provider is unable to correct all Deficiencies preventing acceptance of a deliverable or meet the performance requirements, for which Service provider is responsible within the timelines as mentioned in this Agreement, the Bank may at its discretion:

- a) Without prejudiced to the Bank's other rights under this Agreement, allow Service provider to continue its efforts to make corrections; or
- b) Accept the deliverable with its Deficiencies and reach agreement with Service provider on an equitable reduction to Service provider's charges for developing such deliverable to reflect the uncorrected Deficiencies; or

- c) Terminate this Agreement for cause in accordance with Clause 17 (except that the Bank is under no obligation to provide Service provider any further opportunity to cure) and recover its damages as set forth in this Agreement.

8. Service Milestones<sup>13</sup>

| Milestones <sup>14</sup> related to in-scope services and/or components includes<br><Strike off whichever is not applicable>:- |                                  |                                       |
|--------------------------------------------------------------------------------------------------------------------------------|----------------------------------|---------------------------------------|
| Service Category                                                                                                               | Milestone                        | Duration (in months/weeks/days/hours) |
| Development<br><Strike off if not applicable>                                                                                  | <Brief description of milestone> | <mention the duration >               |
| Delivery                                                                                                                       | <Brief description of milestone> | <mention the duration >               |
| Installation                                                                                                                   | <Brief description of milestone> | <mention the duration >               |
| Configuration                                                                                                                  | <Brief description of milestone> | <mention the duration >               |
| User Acceptance Testing                                                                                                        | <Brief description of milestone> | <mention the duration >               |
| Documentation                                                                                                                  | <Brief description of milestone> | <mention the duration >               |
| Training                                                                                                                       | <Brief description of milestone> | <mention the duration >               |
| Live in Production                                                                                                             | <Brief description of milestone> | <mention the duration >               |

9. Risk Management

- a. Service Provider shall identify and document the risk in delivering the Services. Service Provider shall identify the methodology to monitor and prevent the risk, and shall also document the steps taken to manage the impact of the risks.

<sup>13</sup> The Purpose of this clause is identify any assumption made for this agreement.

<sup>14</sup> Assumptions may include items including how the services will be used in future, projected growth rates that may impact how services are to be delivered and future changes that were considered but not included in the agreement

b. Service Request<sup>15</sup>

**ANNEXURE-B**

INFRASTRUCTURE MANAGEMENT METRICS

(a) Service metric for Recovery Time objective (RTO)

| SL no. | Service level category                        | Service level object                                                                                        | Measurement range/criteria                                                              |
|--------|-----------------------------------------------|-------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------|
| 1.     | RTO during disaster for shifting to <Place>DC | <..... (requirement to be filled by the concerned dept.)/ 4 hours><strike off which ever in not applicable> | <.....><to be filled in by the concerned dept. depending on the criticality of service> |

(b) SLA for Recovery Point Objective

| SL no. | Service level category                      | Service level object                                                                                                                | Measurement range/criteria                                                              |
|--------|---------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------|
| 1.     | RPO during disaster for shifting to <Place> | <.....(requirement to be filled by the concerned dept.)/ 99.999% of PR site data recovery><strike off which ever in not applicable> | <.....><to be filled in by the concerned dept. depending on the criticality of service> |

(c) INFRASTRUCTURE SUPPORT METRICS

<sup>15</sup>The purpose of this clause is to document the process and timeframe for responding to the service requests.



| Activities                                                                                    |                | Severity    | Response Time (mins) | Resolution Time (mins) | Measurement Criteria                     |
|-----------------------------------------------------------------------------------------------|----------------|-------------|----------------------|------------------------|------------------------------------------|
| Operational Task                                                                              | Details        |             |                      |                        |                                          |
| <i>&lt;to be filled in by the concerned dept. depending on the criticality of service&gt;</i> | .....          | Level 1     | .....                | .....                  | <i>&lt;.....<br/>.....<br/>.....&gt;</i> |
|                                                                                               | .....          | Level 2     | .....                | .....                  |                                          |
|                                                                                               | .....          | Level ....n | .....                | .....                  |                                          |
| <i>&lt;to be filled in by the concerned dept. depending on the criticality of service&gt;</i> | .....<br>..... | Level 1     | .....                | .....                  | <i>&gt;.....<br/>.....<br/>.....&gt;</i> |
|                                                                                               | .....          | Level 2     | .....                | .....                  |                                          |
|                                                                                               | .....          | Level.....n | .....                | .....                  |                                          |

**ANNEXURE-C**

APPLICATION DEVELOPMENT & MAINTENANCE METRIC.

| Impact Level | Description/Measure | Response Time                                                                    | Resolution Time                                                                  |
|--------------|---------------------|----------------------------------------------------------------------------------|----------------------------------------------------------------------------------|
| Level 1      | Low impact          | <to be filled in by the concerned dept. depending on the criticality of service> | <to be filled in by the concerned dept. depending on the criticality of service> |
| Level 2      | Medium impact       | <to be filled in by the concerned dept. depending on the criticality of service> | <to be filled in by the concerned dept. depending on the criticality of service> |
| .....        | .....               |                                                                                  |                                                                                  |
| Level.....   | Highest impact      | <to be filled in by the concerned dept. depending on the criticality of service> | <to be filled in by the concerned dept. depending on the criticality of service> |

| Urgency Level | Description/Measure             | Response time                                                                    | Resolution time                                                                  |
|---------------|---------------------------------|----------------------------------------------------------------------------------|----------------------------------------------------------------------------------|
| Level 1       |                                 | <to be filled in by the concerned dept. depending on the criticality of service> | <to be filled in by the concerned dept. depending on the criticality of service> |
| Level 2       |                                 | <to be filled in by the concerned dept. depending on the criticality of service> | <to be filled in by the concerned dept. depending on the criticality of service> |
| .....         |                                 |                                                                                  |                                                                                  |
| Level.....    | To be performed on top priority | <to be filled in by the concerned dept. depending on the criticality of service> | <to be filled in by the concerned dept. depending on the criticality of service> |

| IMPACT | Urgency Level |            |            |            |            |
|--------|---------------|------------|------------|------------|------------|
|        |               | Level 1    | Level 2    |            | Level n    |
|        | Level 1       | Priority A | Priority A |            | Priority C |
|        | Level 2       | Priority A | Priority B |            | Priority D |
|        | ....          |            | Priority J | Priority K | Priority L |
|        | Level.....    | Priority L | Priority M | Priority N | Priority O |

**ANNEXURE-D**

SERVICE DESK SUPPORT METRIC

| SL no. | Service level category                                        | Service level object                                                                                                              | Measurement range/criteria                                                              |
|--------|---------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------|
| 1.     | Call type level 1, <strike off which ever in not applicable>  | <.....(requirement)/ call escalated by sbi service desk to .....service provider’s team><strike off which ever in not applicable> | <.....><to be filled in by the concerned dept. depending on the criticality of service> |
|        | Call type level 12, <strike off which ever in not applicable> | <.....(requirement)/ call escalated by sbi service desk to .....service provider’s team><strike off which ever in not applicable> | <.....><to be filled in by the concerned dept. depending on the criticality of service> |

SERVICE LEVEL REPORTING/ FREQUENCY<sup>16</sup>

<Describe the service level reporting frequency and methodology>

| Report Name | Interval | Recipient | Responsible |
|-------------|----------|-----------|-------------|
|             |          |           |             |
|             |          |           |             |

<sup>16</sup>The purpose of this section is to document reports used to measure service levels. These reports must align with the service measurement and should support these measurements.

SERVICE REVIEW MEETING<sup>17</sup>

Service Review meeting shall be held annually/ half yearly. The following comprise of the Service Review Board:

- President,
- Members.....

---

<sup>17</sup>The purpose of this section to describe the frequency of meeting and composition of service review board.

**ANNEXURE-E**

ESCALATION MATRICS<sup>18</sup>

| Service level Category                | Response/Resolution Time | Escalation thresholds           |                 |               |                 |
|---------------------------------------|--------------------------|---------------------------------|-----------------|---------------|-----------------|
|                                       |                          | Escalation Level 1              | Escalation..... |               |                 |
|                                       |                          | Escalation to                   | Escalation Mode | Escalation to | Escalation Mode |
| Production Support                    |                          | <Name, designation contact no.> |                 |               |                 |
| Service Milestones                    |                          | <Name, designation contact no.> |                 |               |                 |
| Infrastructure Management             |                          | <Name, designation contact no.> |                 |               |                 |
| Application Development & Maintenance |                          | <Name, designation contact no.> |                 |               |                 |
| Information Security                  |                          | <Name, designation contact no.> |                 |               |                 |
| Service Desk Support                  |                          | <Name, designation contact no.> |                 |               |                 |

<sup>18</sup> To ensure that the service beneficiary receives senior management attention on unresolved issues, Service Provider operates a problem escalation procedure in order that any unresolved problems are notified to Service Provider management personnel on a priority basis dependent upon the impact and urgency of the problem.

**ANNEXURE-F**

<Under mentioned are proposed penalty metrics, they are required to be customized by the concerned dept.>

**PENALTY FOR NON PERFORMANCE OF SLA**

| <b>Service level category</b>                                                 | <b>SLA Measure</b>                                             | <b>Penalty Calculation</b>           |
|-------------------------------------------------------------------------------|----------------------------------------------------------------|--------------------------------------|
| Application Uptime/Downtime/ RTO/RPO <strike off whichever is not applicable> | <delay in minutes / hours /days>< to be provided by the dept.> |                                      |
| Delivery Schedule                                                             | <Delay ( in working days)>< to be provided>                    |                                      |
| Installation                                                                  | <delay in minutes / hours /days>< to be provided by the dept.> |                                      |
| User Acceptance Testing                                                       | <delay in minutes / hours /days>< to be provided by the dept.> |                                      |
| Live in Production                                                            | <delay in minutes / hours /days>< to be provided by the dept.> |                                      |
| Periodical training                                                           | <Delay ( in working days)>< to be provided>                    | .....<For each resource not trained> |
| Source Code                                                                   | <Delay ( in working days)>< to be provided>                    |                                      |
| Non-availability of staff                                                     |                                                                |                                      |
| Reports/                                                                      |                                                                |                                      |

PENALTY FOR EVERY ITEMS, Penalty at the rates given below:

| Category of defect | Service Area | Penalty |
|--------------------|--------------|---------|
| Minor              |              |         |
| Medium             |              |         |
| Major              |              |         |
| Critical           |              |         |

PENALTY FOR NON PERFORMANCE AT HELP DESK

| Service Area | SLA measurement                                                                                                | Penalty % on _____ <to be provided by the dept.,> |                                                                    | Calculate penalty on           |
|--------------|----------------------------------------------------------------------------------------------------------------|---------------------------------------------------|--------------------------------------------------------------------|--------------------------------|
|              |                                                                                                                | 0 %                                               | _____ % (for every 1% shortfall from the stipulated service level) |                                |
| Help Desk    | Time taken for resolution of calls (99.9% of the calls should be resolved within the stipulated response time) | More than or equal to 99.9 % of service level     | Less than 99.9 % of service level                                  | <to be provided by the dept.,> |

**ANNEXURE G**

**Transition & Knowledge Transfer Plan**

**1. Introduction**

1.1 This Annexure describes the duties and responsibilities of Service Provider and the Bank to ensure proper transition of services and to ensure complete knowledge transfer.

**2. Objectives**

2.1 The objectives of this annexure are to:

- (1) ensure a smooth transition of Services from Service Provider to a New/Replacement SERVICE PROVIDER or back to the Bank at the termination or expiry of this Agreement;
- (2) ensure that the responsibilities of both parties to this Agreement are clearly defined in the event of exit and transfer; and
- (3) ensure that all relevant Assets are transferred.

**3. General**

3.1 Where the Bank intends to continue equivalent or substantially similar services to the Services provided by Service Provider after termination or expiry the Agreement, either by performing them itself or by means of a New/Replacement SERVICE PROVIDER, Service Provider shall ensure the smooth transition to the Replacement SERVICE PROVIDER and shall co-operate with the Bank or the Replacement SERVICE PROVIDER as required in order to fulfil the obligations under this annexure.

3.2 Service Provider shall co-operate fully with the Bank and any potential Replacement SERVICE PROVIDERS tendering for any Services, including the transfer of responsibility for the provision of the Services previously performed by Service Provider to be achieved with the minimum of disruption. In particular:

3.2.1 during any procurement process initiated by the Bank and in anticipation of the expiry or termination of the Agreement and irrespective of the identity of any potential or actual Replacement SERVICE PROVIDER, Service Provider shall comply with all reasonable requests by the Bank to provide information relating to the operation of the Services, including but not limited to, hardware and software used, inter-working, coordinating with other application owners, access to and provision of all performance reports, agreed

procedures, and any other relevant information (including the configurations set up for the Bank and procedures used by Service Provider for handling Data) reasonably necessary to achieve an effective transition, provided that:

- 3.2.1.1 Service Provider shall not be obliged to provide any information concerning the costs of delivery of the Services or any part thereof or disclose the financial records of Service Provider to any such party;
  - 3.2.1.2 Service Provider shall not be obliged to disclose any such information for use by an actual or potential Replacement SERVICE PROVIDER unless such a party shall have entered into a confidentiality agreement; and
  - 3.2.1.3 whilst supplying information as contemplated in this paragraph 3.2.1 Service Provider shall provide sufficient information to comply with the reasonable requests of the Bank to enable an effective tendering process to take place but shall not be required to provide information or material which Service Provider may not disclose as a matter of law.
- 3.3 In assisting the Bank and/or the Replacement SERVICE PROVIDER to transfer the Services the following commercial approach shall apply:
- (1) where Service Provider does not have to utilise resources in addition to those normally used to deliver the Services prior to termination or expiry, Service Provider shall make no additional Charges. The Bank may reasonably request that support and materials already in place to provide the Services may be redeployed onto work required to effect the transition provided always that where the Bank agrees in advance that such redeployment will prevent Service Provider from meeting any Service Levels, achieving any other key dates or from providing any specific deliverables to the Bank, the Bank shall not be entitled to claim any penalty or liquidated damages for the same.
  - (2) where any support and materials necessary to undertake the transfer work or any costs incurred by Service Provider are additional to those in place as part of the proper provision of the Services the Bank shall pay Service Provider for staff time agreed in advance at the rates agreed between the parties and for materials and other costs at a reasonable price which shall be agreed with the Bank.
- 3.4 If so required by the Bank, on the provision of no less than 15 (fifteen) days' notice in writing, Service Provider shall continue to provide the Services or an agreed part of the Services for a period not exceeding **6 (Six)** months beyond the date of termination or expiry of the Agreement. In such event the Bank shall reimburse Service Provider for

such elements of the Services as are provided beyond the date of termination or expiry date of the Agreement on the basis that:

- (1) Services for which rates already specified in the Agreement shall be provided on such rates;
- (2) materials and other costs, if any, will be charged at a reasonable price which shall be mutually agreed between the Parties.

3.5 Service Provider shall provide to the Bank an analysis of the Services to the extent reasonably necessary to enable the Bank to plan migration of such workload to a Replacement SERVICE PROVIDER provided always that this analysis involves providing performance data already delivered to the Bank as part of the performance monitoring regime.

3.6 Service Provider shall provide such information as the Bank reasonably considers to be necessary for the actual Replacement SERVICE PROVIDER, or any potential Replacement SERVICE PROVIDER during any procurement process, to define the tasks which would need to be undertaken in order to ensure the smooth transition of all or any part of the Services.

3.7 Service Provider shall make available such Key Personnel who have been involved in the provision of the Services as the Parties may agree to assist the Bank or a Replacement SERVICE PROVIDER (as appropriate) in the continued support of the Services beyond the expiry or termination of the Agreement, in which event the Bank shall pay for the services of such Key Personnel on a time and materials basis at the rates agreed between the parties.

3.8 Service Provider shall co-operate with the Bank during the handover to a Replacement SERVICE PROVIDER and such co-operation shall extend to, but shall not be limited to, inter-working, co-ordinating and access to and provision of all operational and performance documents, reports, summaries produced by Service Provider for the Bank, including the configurations set up for the Bank and any and all information to be provided by Service Provider to the Bank under any other term of this Agreement necessary to achieve an effective transition without disruption to routine operational requirements.

#### **4. Replacement SERVICE PROVIDER**

4.1 In the event that the Services are to be transferred to a Replacement SERVICE PROVIDER, the Bank will use reasonable endeavors to ensure that the Replacement SERVICE PROVIDER co-operates with Service Provider during the handover of the Services.

## 5. Subcontractors

5.1 Service Provider agrees to provide the Bank with details of the Subcontracts (if permitted by the Bank) used in the provision of the Services. Service Provider will not restrain or hinder its Subcontractors from entering into agreements with other prospective service providers for the delivery of supplies or services to the Replacement SERVICE PROVIDER.

## 6. Transfer of Configuration Management Database

6.1 **6 (six)** months prior to expiry or within **2 (two)** week of notice of termination of this Agreement Service Provider shall deliver to the Bank a full, accurate and up to date cut of content from the Configuration Management Database (or equivalent) used to store details of Configurable Items and Configuration Management data for all products used to support delivery of the Services.

## 7. Transfer of Assets

7.1 6 (six) months prior to expiry or within 2 (two) week of notice of termination of the Agreement Service Provider shall deliver to the Bank the Asset Register comprising:

- (1) a list of all Assets eligible for transfer to the Bank; and
- (2) a list identifying all other Assets, (including human resources, skillset requirement and know-how), that are ineligible for transfer but which are essential to the delivery of the Services. The purpose of each component and the reason for ineligibility for transfer shall be included in the list.

7.2 Within **1 (one)** month of receiving the Asset Register as described above, the Bank shall notify Service Provider of the Assets it requires to be transferred, (the “Required Assets”), and the Bank and Service Provider shall provide for the approval of the Bank a draft plan for the Asset transfer.

7.3 In the event that the Required Assets are not located on Bank premises:

- (1) Service Provider shall be responsible for the dismantling and packing of the Required Assets and to ensure their availability for collection by the Bank or its authorised representative by the date agreed for this;
- (2) any charges levied by Service Provider for the Required Assets not owned by the Bank shall be fair and reasonable in relation to the condition of the Assets and the then fair market value; and
- (3) for the avoidance of doubt, the Bank will not be responsible for the Assets.

7.4 Service Provider warrants that the Required Assets and any components thereof transferred to the Bank or Replacement SERVICE PROVIDER benefit from any remaining manufacturer's warranty relating to the Required Assets at that time, always provided such warranties are transferable to a third party.

## **8. Transfer of Software Licenses**

8.1 **6 (six)** months prior to expiry or within **2 (two)** week of notice of termination of this Agreement Service Provider shall deliver to the Bank all licenses for Software used in the provision of Services which were purchased by the Bank.

8.2 On notice of termination of this Agreement Service Provider shall, within **2 (two)** week of such notice, deliver to the Bank details of all licenses for SERVICE PROVIDER Software and SERVICE PROVIDER Third Party Software used in the provision of the Services, including the terms of the software license agreements. For the avoidance of doubt, the Bank shall be responsible for any costs incurred in the transfer of licenses from Service Provider to the Bank or to a Replacement SERVICE PROVIDER provided such costs shall be agreed in advance. Where transfer is not possible or not economically viable the Parties will discuss alternative licensing arrangements.

8.3 Within **1 (one)** month of receiving the software license information as described above, the Bank shall notify Service Provider of the licenses it wishes to be transferred, and Service Provider shall provide for the approval of the Bank a draft plan for license transfer, covering novation of agreements with relevant software providers, as required. Where novation is not possible or not economically viable the Parties will discuss alternative licensing arrangements.

## **9. Transfer of Software**

9.1 Wherein State Bank of India is the owner of the software, 6 (six) months prior to expiry or within 2 (two) weeks of notice of termination of this Agreement Service Provider shall deliver, or otherwise certify in writing that it has delivered, to the Bank a full, accurate and up to date version of the Software including up to date versions and latest releases of, but not limited to:

- (a) Source Code (with source tree) and associated documentation;
- (b) application architecture documentation and diagrams;
- (c) release documentation for functional, technical and interface specifications;
- (d) a plan with allocated resources to handover code and design to new development and test teams (this should include architectural design and code 'walk-through');
- (e) Source Code and supporting documentation for testing framework tool and performance tool;
- (f) test director database;
- (g) test results for the latest full runs of the testing framework tool and performance tool on each environment; and

## 10. Transfer of Documentation

10.1 6 (six) months prior to expiry or within 2 (two) weeks of notice of termination of this Agreement Service Provider shall deliver to the Bank a full, accurate and up-to date set of Documentation that relates to any element of the Services as defined in Annexure A.

## 11. Transfer of Service Management Process

11.1 6 (six) months prior to expiry or within 2 (two) weeks of notice of termination of this Agreement Service Provider shall deliver to the Bank:

- (a) a plan for the handover and continuous delivery of the Service Desk function and allocate the required resources;
- (b) full and up to date, both historical and outstanding Service Desk ticket data including, but not limited to:
  - (1) Incidents;
  - (2) Problems;
  - (3) Service Requests;
  - (4) Changes;

- (5) Service Level reporting data;
- (c) a list and topology of all tools and products associated with the provision of the Software and the Services;
- (d) full content of software builds and server configuration details for software deployment and management; and
- (e) monitoring software tools and configuration.

**12. Transfer of Knowledge Base**

- 12.1 **6 (six)** months prior to expiry or within **2 (two)** week of notice of termination of this Agreement Service Provider shall deliver to the Bank a full, accurate and up to date cut of content from the knowledge base (or equivalent) used to troubleshoot issues arising with the Services but shall not be required to provide information or material which Service Provider may not disclose as a matter of law.

**13. Transfer of Service Structure**

- 13.1 **6 (six)** months prior to expiry or within **2 (two)** weeks' notice of termination of this Agreement Service Provider shall deliver to the Bank a full, accurate and up to date version of the following, as a minimum:
- (a) archive of records including:
    - (1) Questionnaire Packs;
    - (2) project plans and sign off;
    - (3) Acceptance Criteria; and
    - (4) Post Implementation Reviews.
  - (b) programme plan of all work in progress currently accepted and those in progress;
  - (c) latest version of documentation set;
  - (d) Source Code (if appropriate) and all documentation to support the services build tool with any documentation for 'workarounds' that have taken place;
  - (e) Source Code, application architecture documentation/diagram and other documentation;
  - (f) Source Code, application architecture documentation/diagram and other documentation for Helpdesk; and
  - (g) project plan and resource required to hand Service Structure capability over to the new team.

**14. Transfer of Data**

- 14.1 In the event of expiry or termination of this Agreement Service Provider shall cease to use the Bank's Data and, at the request of the Bank, shall destroy all such copies of the Bank's Data then in its possession to the extent specified by the Bank.
- 14.2 Except where, pursuant to paragraph 14.1 above, the Bank has instructed Service Provider to destroy such Bank's Data as is held and controlled by Service Provider, **1 (one)** months prior to expiry or within **1 (one)** month of termination of this Agreement, Service Provider shall deliver to the Bank:
- (1) An inventory of the Bank's Data held and controlled by Service Provider, plus any other data required to support the Services; and/or
  - (2) a draft plan for the transfer of the Bank's Data held and controlled by Service Provider and any other available data to be transferred.

**15. Training Services on Transfer**

- 15.1 Service Provider shall comply with the Bank's reasonable request to assist in the identification and specification of any training requirements following expiry or termination. The purpose of such training shall be to enable the Bank or a Replacement SERVICE PROVIDER to adopt, integrate and utilize the Data and Assets transferred and to deliver an equivalent service to that previously provided by Service Provider.
- 15.2 The provision of any training services and/or deliverables and the charges for such services and/or deliverables shall be agreed between the parties.
- 15.3 Subject to paragraph 15.2 above, Service Provider shall produce for the Bank's consideration and approval **6 (six)** months prior to expiry or within **10 (ten)** working days of issue of notice of termination:
- (1) A training strategy, which details the required courses and their objectives;
  - (2) Training materials (including assessment criteria); and
  - (3) a training plan of the required training events.
- 15.4 Subject to paragraph 15.2 above, Service Provider shall schedule all necessary resources to fulfil the training plan, and deliver the training as agreed with the Bank.
- 15.5 SERVICE PROVIDER shall provide training courses on operation of licensed /open source software product at Bank's \_\_\_\_\_ Premises, at such times, during business hours as Bank may reasonably request. Each training course will last for \_\_\_\_\_ hours.

Bank may enroll up to \_\_\_\_\_ of its staff or \_\_\_\_\_ employees of the new/replacement service provider in any training course, and Service Provider shall provide a hard copy of the Product (licensed or open sourced) standard training manual for each enrollee. Each training course will be taught by a technical expert with no fewer than \_\_\_\_\_ years of experience in operating \_\_\_\_\_ software system. SERVICE PROVIDER shall provide the \_\_\_\_\_ training without any additional charges.

**16. Transfer Support Activities**

16.1 **6 (six)** months prior to expiry or within **10 (ten)** Working Days of issue of notice of termination, Service Provider shall assist the Bank or Replacement SERVICE PROVIDER to develop a viable exit transition plan which shall contain details of the tasks and responsibilities required to enable the transition from the Services provided under this Agreement to the Replacement SERVICE PROVIDER or the Bank, as the case may be.

16.2 The exit transition plan shall be in a format to be agreed with the Bank and shall include, but not be limited to:

- (1) a timetable of events;
- (2) resources;
- (3) assumptions;
- (4) activities;
- (5) responsibilities; and
- (6) risks.

16.3 Service Provider shall supply to the Bank or a Replacement SERVICE PROVIDER specific materials including but not limited to:

- (a) Change Request log;
- (b) entire back-up history; and
- (c) dump of database contents including the Asset Register, problem management system and operating procedures. For the avoidance of doubt this shall not include proprietary software tools of Service Provider which are used for project management purposes generally within Service Provider's business.

16.4 Service Provider shall supply to the Bank or a Replacement SERVICE PROVIDER proposals for the retention of Key Personnel for the duration of the transition period.

- 16.5 On the date of expiry Service Provider shall provide to the Bank refreshed versions of the materials required under paragraph 16.3 above which shall reflect the position as at the date of expiry.
- 16.6 Service Provider shall provide to the Bank or to any Replacement SERVICE PROVIDER within 14 (fourteen) Working Days of expiry or termination a full and complete copy of the Incident log book and all associated documentation recorded by Service Provider till the date of expiry or termination.
- 16.7 Service Provider shall provide for the approval of the Bank a draft plan to transfer or complete work-in-progress at the date of expiry or termination.

**17. Use of Bank Premises**

- 17.1 Prior to expiry or on notice of termination of this Agreement, Service Provider shall provide for the approval of the Bank a draft plan specifying the necessary steps to be taken by both Service Provider and the Bank to ensure that the Bank's Premises are vacated by Service Provider.
- 17.2 Unless otherwise agreed, Service Provider shall be responsible for all costs associated with Service Provider's vacation of the Bank's Premises, removal of equipment and furnishings, redeployment of SERVICE PROVIDER Personnel, termination of arrangements with Subcontractors and service contractors and restoration of the Bank Premises to their original condition (subject to a reasonable allowance for wear and tear).

XXXXX

**ANNEXURE-H**

**Data Processing Agreement**

≤ Applicable in case of activities for which selection of vendor/outsourcing of activities has been initiated involve access/sharing/transfer of Personal Data/PII of EU/UK NRI customers>

This Data Processing Agreement ("Agreement") forms part of the Contract for Services ("Principal Agreement") dated \_\_\_\_\_ between:

(i) State Bank of India ("Controller")

**And**

(ii) M/s. \_\_\_\_\_ ("Data Processor")

**WHEREAS:**

(A) State Bank of India (hereafter referred to as "SBI") acts as a Data Controller.

(B) SBI wishes to contract certain Services (provided in Schedule 1), which imply the processing of personal data (provided in Schedule 2), to the Data Processor.

The Parties seek to implement a data processing agreement that complies with the requirements of the current legal framework in relation to data processing and with the Regulation (EU) 2016/679 of the European Parliament and of the Council of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data and repealing Directive 95/46/EC (General Data Protection Regulation) and any other data protection and privacy laws applicable to the Services.

(C) The Parties wish to lay down their rights and obligations (Processor obligations in Clause 3).

**IT IS AGREED AS FOLLOWS:**

**1. Definitions and Interpretation:**

1.1 Unless otherwise defined herein, terms and expressions used in this Agreement shall have the following meaning:

1.1.1 "Agreement" means this Data Processing Agreement and all schedules.

1.1.2 "Controller" has the meaning given to "data controller" in the UK Data Protection Act 1998 and "controller" in the General Data Protection Regulation (as applicable).

1.1.3 "Client" means a customer of State Bank of India.

1.1.4 "Data Protection Legislation" means as applicable, the UK Data Protection Act 1998, Directive 95/46/EC of the European Parliament and any laws or regulations implementing it, the

Regulation (EU) 2016/679 of the European Parliament and of the Council of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data (General Data Protection Regulation) and any equivalent or replacement law in the UK and any other data protection and privacy laws applicable to the Services.

1.1.5 "Data subject" has the meaning given to it in the Data Protection Legislation.

1.1.6 "Personal Data" has the meaning given to it in the Data Protection Legislation and relates only to Personal Data processed by a Contracted Processor on behalf of SBI pursuant to or in connection with the Principal Agreement in relation to the Services provided.

1.1.7 "Processor" means a data processor providing services to SBI.

1.1.8 "Subprocessor" means any person appointed by or on behalf of Processor to process Personal Data on behalf of SBI in connection with the Agreement.

1.1.9 "Data Protection Laws" means EU Data Protection Laws and, to the extent applicable, the data protection or privacy laws of any other country.

1.1.10 "EEA" means the European Economic Area.

1.1.11 "EU Data Protection Laws" means EU Directive 95/46/EC, as transposed into domestic legislation of each Member State and as amended, replaced or superseded from time to time, including by the GDPR and laws implementing or supplementing the GDPR.

1.1.12 "GDPR" means EU General Data Protection Regulation 2016/679.

1.1.13 "Data Transfer" means:

1.1.13.1 a transfer of Personal Data from SBI to a Processor; or

1.1.13.2 an onward transfer of Personal Data from a Processor to a Subcontracted Processor, or between two establishments of a Processor, in each case, where such transfer would be prohibited by Data Protection Laws (or by the terms of data transfer agreements put in place to address the data transfer restrictions of Data Protection Laws).

1.1.14 "Services" means the services to be performed by the Processor described in the Principal Agreement (as provided in Schedule 1).

1.1.15 "Supervisory authority" has the meaning given to it in the Data Protection Legislation.

1.1.16 "Personal data breach" has the meaning given to it in the Data Protection Legislation.

1.1.17 "Personnel" means the personnel of the Processor, Subcontractors and Sub processors who provide the applicable Services; and

1.1.18 "Third country" has the meaning given to it in the Data Protection Legislation.

## **2. Processing of Personal Data:**

2.1 In the course of providing Services to State Bank of India, the Processor may process Personal Data on behalf of State Bank of India.

2.2 Processor shall:

2.2.1 comply with all applicable Data Protection Laws in the Processing of Personal Data; and

2.2.2 not Process Personal Data other than on the relevant documented instructions of SBI.

## **3. PROCESSOR OBLIGATIONS:**

### **3.1 Processor Personnel:**

Processor shall take reasonable steps to ensure the reliability of any employee, agent or sub-processor who may have access to Personal Data, ensuring in each case that access is strictly limited to those individuals who need to know / access the relevant Personal Data, as strictly necessary for the purposes of the Principal Agreement, and to comply with Applicable Laws in the context of that individual's duties to the Processor, ensuring that all such individuals are subject to confidentiality undertakings or professional or statutory obligations of confidentiality.

3.1.1. The Processor shall process Personal Data only on the documented instructions from State Bank of India from time to time. State Bank of India shall notify the Processor of any amendments to existing instructions or additional instructions in relation to the processing of Personal Data in writing and Processor shall promptly comply with such instructions.

3.1.2. Notwithstanding clause 3.1, the Processor (and its Personnel) may process the Personal Data if it is required to do so by European Union law, Member State law or to satisfy any other legal obligations to which it is subject. In such circumstance, the Processor shall notify State Bank of India of that requirement before it processes the Personal Data, unless the applicable law prohibits it from doing so.

3.1.3. The Processor shall immediately notify State Bank of India if, in Processor's opinion, State Bank of India's documented data processing instructions breach the Data Protection Legislation. If and to the extent the Processor is unable to comply with any instruction received from State Bank of India, it shall promptly notify State Bank of India accordingly.

3.1.4. The purpose of the Processor processing Personal Data is the performance of the Services pursuant to the Principal Agreement.

### **3.2 Security:**

**3.2.1** Taking into account the nature, scope, context and purposes of Processing (provided in Schedule 2) as well as the risk of varying likelihood and severity for the rights and freedoms of natural persons, Processor shall in relation to Personal Data implement appropriate technical and organizational measures (Processor obligations in Schedule 3) to ensure a level of security appropriate to that risk, including, as appropriate, the measures referred to in Article 32(1) of the GDPR.

3.2.2 In assessing the appropriate level of security, Processor shall take into account, in particular, risks related to processing of Personal Data.

3.2.3 The Processor shall use appropriate technical and organisational measures to prevent the unauthorised or unlawful processing of Personal Data and protect against accidental loss or destruction of, or damage to, any Personal Data during processing activities. It shall implement and maintain the security safeguards and standards based on the IS policy of State Bank of India as updated and notified to the Processor by State Bank of India from time to time. The Processor will not decrease the overall level of security safeguards and standards during the term of this Agreement without State Bank of India's prior consent.

### **3.3 Sub-Processing:**

3.3.1 The Processor shall not appoint (or disclose any Personal Data to) any Sub- Processors without prior written authorisation from State Bank of India. The Processor shall provide State Bank of India with [no less than [xx days] prior written (including email) notice before engaging a new Sub processor thereby giving State Bank of India an opportunity to object to such changes. If State Bank of India wishes to object to such new Sub processor, then State Bank of India may terminate the relevant Services without penalty by providing written notice of termination which includes an explanation of the reasons for such objection.

3.3.2 The Processor shall include in any contract with its Sub processors who will process Personal Data on State Bank of India's behalf, obligations on such Sub processors which are no less onerous than those obligations imposed upon the Processor in this Agreement relating to Personal Data. The Processor shall be liable for the acts and omissions of its Sub processors to the same extent to which the Processor would be liable if performing the services of each Sub processor directly under the terms of this Agreement.

### **3.4 Data Subject Rights:**

Data subjects (SBI NRI customers) whose Personal Data is processed pursuant to this Agreement have the right to request access to and the correction, deletion or blocking of such Personal Data under Data Protection Legislation. Such requests shall be addressed to and be considered by State Bank of India responsible for ensuring such requests are handled in accordance with Data Protection Legislation.

3.4.1 Taking into account the nature of the Processing, Processor shall assist SBI by implementing appropriate technical and organisational measures (Processor obligations in Schedule 3), insofar as this is possible, for the fulfilment of SBI's obligations, as reasonably understood by SBI, to respond to requests to exercise Data Subject rights under the Data Protection Laws.

3.4.2 In case Data Subject Requests are received by Processor, then the Processor shall:

3.4.2.1 promptly notify SBI if it receives a request from a Data Subject under any Data Protection Law in respect of Personal Data; and

3.4.2.2 ensure that it does not respond to that request except on the documented instructions of SBI or as required by Applicable Laws to which the Processor is subject, in which case Processor shall to the extent permitted by Applicable Laws

3.4.2.3 inform SBI of that legal requirement before the Processor responds to the request.

### **3.5 Personal Data Breach:**

3.5.1 Processor shall notify SBI without undue delay upon Processor becoming aware of a Personal Data Breach affecting Personal Data, providing SBI with sufficient information to allow SBI to meet any obligations to report or inform Data Subjects of the Personal Data Breach under the Data Protection Laws.

3.5.2 Processor shall co-operate with SBI and take reasonable commercial steps as are directed by SBI to assist in the investigation, mitigation and remediation of each such Personal Data Breach.

### **3.6 Data Protection Impact Assessment and Prior Consultation:**

Processor shall provide reasonable assistance to SBI with any data protection impact assessments, and prior consultations with Supervising Authorities or other competent data privacy authorities, which SBI reasonably considers to be required by article 35 or 36 of the GDPR or equivalent provisions of any other Data Protection Law, in each case solely in relation to Processing of Personal Data by and taking into account the nature of the Processing and information available to, the Processors.

### **3.7 Deletion or return of Personal Data:**

3.7.1 Subject to this section 3.7 Processor shall, promptly and in any event within <XX> business days of the date of cessation of any Services involving the Processing of Personal Data (the "Cessation Date"), delete all copies of those Personal Data.

3.7.2 Processor shall provide written certification to SBI that it has fully complied with this section 3.7 within < XX > business days of the Cessation Date.

### **3.8 Audit Rights:**

The Processor shall make available to State Bank of India and any supervisory authority or their representatives the information necessary to demonstrate its compliance with this Agreement and allow for and contribute to audits and inspections by allowing State Bank of India, its Client, a supervisory authority or their representatives to conduct an audit or inspection of that part of the Processor's business which is relevant to the Services [on at least an annual basis (or more frequently when mandated by a relevant supervisory authority or to comply with the Data Protection Legislation) and] on reasonable notice, in relation to the Processing of Personal Data by the Processor.

### **3.9 Data Transfer:**

The Processor may not transfer or authorize the transfer of Data to countries outside the EU/ India and/or the European Economic Area (EEA) without the prior written consent of SBI. If personal data processed under this Agreement is transferred from a country within the European Economic

Area to a country outside the European Economic Area, the Parties shall ensure that the personal data are adequately protected. To achieve this, the Parties shall, unless agreed otherwise, rely on EU approved standard contractual clauses / EU-US Privacy Shield for the transfer of personal data.

### **3.10 Records:**

The Processor shall maintain written records of its data processing activities pursuant to providing the Services to State Bank of India in accordance with Data Protection Legislation.

### **3.11 Notify:**

The Processor shall immediately and fully notify State Bank of India in writing of any communications the Processor (or any of its Sub processors) receives from third parties in connection with the processing of the Personal Data, including (without limitation) subject access requests or other requests, notices or other communications from individuals, or their representatives, or from the European Data Protection Board, the UK's Information Commissioner's Office (in the case of the United Kingdom) and/or any other supervisory authority or data protection authority or any other regulator (including a financial regulator) or court.

### **3.12 Agreement Termination:**

Upon expiry or termination of this Agreement or the Services for any reason or State Bank of India's earlier request, the Processor shall: (i) return to State Bank of India; and (ii) delete from all computer systems and other data storage systems, all Personal Data, provided that the Processor shall not be required to return or delete all or part of the Personal Data that it is legally permitted to retain. The Processor shall confirm to State Bank of India that it has complied with its obligation to delete Personal Data under this clause.

## **4. STATE BANK OF INDIA'S OBLIGATIONS:**

State Bank of India shall:

4.1 in its use of the Services, process the Personal Data in accordance with the requirements of the Data Protection Legislation.

4.2 use its reasonable endeavours to promptly notify the Processor if it becomes aware of any breaches or of other irregularities with the requirements of the Data Protection Legislation in respect of the Personal Data processed by the Processor.

## **5. General Terms:**

### **5.1 Confidentiality:**

Each Party must keep this Agreement and information it receives about the other Party and its business in connection with this Agreement ("Confidential Information") confidential and must not

use or disclose that Confidential Information without the prior written consent of the other Party except to the extent that:

- (a) disclosure is required by law.
- (b) the relevant information is already in the public domain.

**5.2 Notices:**

All notices and communications given under this Agreement must be in writing and will be delivered personally, sent by post or sent by email to the address or email address set out in the heading of this Agreement at such other address as notified from time to time by the Parties changing address.

**5.3 Governing Law and Jurisdiction:**

5.3.1 This Agreement is governed by the laws of INDIA.

5.3.2 Any dispute arising in connection with this Agreement, which the Parties will not be able to resolve amicably, will be submitted to the exclusive jurisdiction of the courts of MUMBAI.

IN WITNESS WHEREOF, this Agreement is entered into and becomes a binding part of the Principal Agreement with effect from the date first set out below.

For State Bank of India

Signature \_\_\_\_\_  
Name \_\_\_\_\_  
Title \_\_\_\_\_  
Date Signed \_\_\_\_\_

For Processor M/s

Signature \_\_\_\_\_  
Name \_\_\_\_\_  
Title \_\_\_\_\_  
Date Signed \_\_\_\_\_

**SCHEDULE 1**

**1.1 Services**

<<Insert a description of the Services provided by the Data Processor (under the Principal Service Agreement, where relevant)>>.

## SCHEDULE 2

### Personal Data

| Category of Personal Data | Category of Data Subject | Nature of Processing Carried Out | Purpose(s) of Processing | Duration of Processing |
|---------------------------|--------------------------|----------------------------------|--------------------------|------------------------|
|                           |                          |                                  |                          |                        |
|                           |                          |                                  |                          |                        |
|                           |                          |                                  |                          |                        |
|                           |                          |                                  |                          |                        |
|                           |                          |                                  |                          |                        |

## SCHEDULE 3

### Technical and Organisational Data Protection Measures

1. The Processor shall ensure that, in respect of all Personal Data it receives from or processes on behalf of SBI, it maintains security measures to a standard appropriate to:

1.1. the nature of the Personal Data; and

1.2. Safeguard from the harm that might result from unlawful or unauthorised processing or accidental loss, damage, or destruction of the Personal Data.

2. In particular, the Processor shall:

2.1. have in place, and comply with, a security policy which:

2.1.1. defines security needs based on a risk assessment.

2.1.2. allocates responsibility for implementing the policy to a specific individual (such as the Processor's Data Protection Officer) or personnel and is provided to SBI on or before the commencement of this Agreement.

2.1.3. ensure that appropriate security safeguards and virus protection are in place to protect the hardware and software which is used in processing the Personal Data in accordance with best industry practice.

2.1.4. prevent unauthorised access to the Personal Data.

2.1.5. protect the Personal Data using pseudonymisation and encryption.

2.1.6. ensure the confidentiality, integrity and availability of the systems and services in regard to the processing of Personal Data.

2.1.7. ensure the fast availability of and access to Personal Data in the event of a physical or technical incident.

2.1.8. have in place a procedure for periodically reviewing and evaluating the effectiveness of the technical and organisational measures taken to ensure the safety of the processing of Personal Data.

2.1.9. ensure that its storage of Personal Data conforms with best industry practice such that the media on which Personal Data is recorded (including paper records and records stored electronically) are stored in secure locations and access by personnel to Personal Data is strictly monitored and controlled.

2.1.10. have secure methods in place for the transfer of Personal Data whether in physical form (for example, by using couriers rather than post) or electronic form (for example, by using encryption).

2.1.11. password protect all computers and other devices on which Personal Data is stored, ensuring that all passwords are secure, and that passwords are not shared under any circumstances.

2.1.12. not allow the storage of the Personal Data on any mobile devices such as laptops or tablets unless such devices are kept on its premises at all times.

2.1.13. take reasonable steps to ensure the reliability of personnel who have access to the Personal Data.

2.1.14. have in place methods for detecting and dealing with breaches of security (including loss, damage, or destruction of Personal Data) including:

2.1.14.1. having a proper procedure in place for investigating and remedying breaches of the GDPR; and

2.1.14.2. notifying SBI as soon as any such security breach occurs.

2.1.15. have a secure procedure for backing up all Personal Data and storing back-ups separately from originals; and

2.1.16. adopt such organisational, operational, and technological processes and procedures as are required to comply with the requirements of ISO/IEC 27001:2013 and SBI's Information Security Policy as appropriate.

At the time of signing this Agreement, the Processor has the following technical and organizational measures in place: (To be vetted by SBI)

| S. No                                                                    | Controls to be implemented                                                                                      | Compliance (Yes / No)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | If under implementation, give date by which implementation will be done |  |  |                      |  |  |                                                                          |  |  |                     |  |  |                                   |  |  |                   |  |  |                       |  |  |                         |  |  |                                           |  |  |  |
|--------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------|--|--|----------------------|--|--|--------------------------------------------------------------------------|--|--|---------------------|--|--|-----------------------------------|--|--|-------------------|--|--|-----------------------|--|--|-------------------------|--|--|-------------------------------------------|--|--|--|
| 1                                                                        | Whether the Processor has Information security policy in place with periodic reviews?                           |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |                                                                         |  |  |                      |  |  |                                                                          |  |  |                     |  |  |                                   |  |  |                   |  |  |                       |  |  |                         |  |  |                                           |  |  |  |
| 2                                                                        | Whether the Processor have operational processes with periodic review, including but not limited to:            | <table border="1"> <tr> <td data-bbox="456 544 951 629">a. Business Continuity Management</td> <td data-bbox="951 544 1158 629"></td> <td data-bbox="1158 544 1402 629"></td> </tr> <tr> <td data-bbox="456 629 951 680">b. Backup management</td> <td data-bbox="951 629 1158 680"></td> <td data-bbox="1158 629 1402 680"></td> </tr> <tr> <td data-bbox="456 680 951 808">c. Desktop/system/server/network device hardening with baseline controls</td> <td data-bbox="951 680 1158 808"></td> <td data-bbox="1158 680 1402 808"></td> </tr> <tr> <td data-bbox="456 808 951 860">d. Patch Management</td> <td data-bbox="951 808 1158 860"></td> <td data-bbox="1158 808 1402 860"></td> </tr> <tr> <td data-bbox="456 860 951 945">e. Port Management Media Movement</td> <td data-bbox="951 860 1158 945"></td> <td data-bbox="1158 860 1402 945"></td> </tr> <tr> <td data-bbox="456 945 951 996">f. Log Management</td> <td data-bbox="951 945 1158 996"></td> <td data-bbox="1158 945 1402 996"></td> </tr> <tr> <td data-bbox="456 996 951 1048">g. Personnel Security</td> <td data-bbox="951 996 1158 1048"></td> <td data-bbox="1158 996 1402 1048"></td> </tr> <tr> <td data-bbox="456 1048 951 1099">h. Physical Security</td> <td data-bbox="951 1048 1158 1099"></td> <td data-bbox="1158 1048 1402 1099"></td> </tr> <tr> <td data-bbox="456 1099 951 1196">i. Internal security assessment processes</td> <td data-bbox="951 1099 1158 1196"></td> <td data-bbox="1158 1099 1402 1196"></td> </tr> </table> | a. Business Continuity Management                                       |  |  | b. Backup management |  |  | c. Desktop/system/server/network device hardening with baseline controls |  |  | d. Patch Management |  |  | e. Port Management Media Movement |  |  | f. Log Management |  |  | g. Personnel Security |  |  | h. Physical Security    |  |  | i. Internal security assessment processes |  |  |  |
| a. Business Continuity Management                                        |                                                                                                                 |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |                                                                         |  |  |                      |  |  |                                                                          |  |  |                     |  |  |                                   |  |  |                   |  |  |                       |  |  |                         |  |  |                                           |  |  |  |
| b. Backup management                                                     |                                                                                                                 |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |                                                                         |  |  |                      |  |  |                                                                          |  |  |                     |  |  |                                   |  |  |                   |  |  |                       |  |  |                         |  |  |                                           |  |  |  |
| c. Desktop/system/server/network device hardening with baseline controls |                                                                                                                 |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |                                                                         |  |  |                      |  |  |                                                                          |  |  |                     |  |  |                                   |  |  |                   |  |  |                       |  |  |                         |  |  |                                           |  |  |  |
| d. Patch Management                                                      |                                                                                                                 |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |                                                                         |  |  |                      |  |  |                                                                          |  |  |                     |  |  |                                   |  |  |                   |  |  |                       |  |  |                         |  |  |                                           |  |  |  |
| e. Port Management Media Movement                                        |                                                                                                                 |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |                                                                         |  |  |                      |  |  |                                                                          |  |  |                     |  |  |                                   |  |  |                   |  |  |                       |  |  |                         |  |  |                                           |  |  |  |
| f. Log Management                                                        |                                                                                                                 |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |                                                                         |  |  |                      |  |  |                                                                          |  |  |                     |  |  |                                   |  |  |                   |  |  |                       |  |  |                         |  |  |                                           |  |  |  |
| g. Personnel Security                                                    |                                                                                                                 |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |                                                                         |  |  |                      |  |  |                                                                          |  |  |                     |  |  |                                   |  |  |                   |  |  |                       |  |  |                         |  |  |                                           |  |  |  |
| h. Physical Security                                                     |                                                                                                                 |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |                                                                         |  |  |                      |  |  |                                                                          |  |  |                     |  |  |                                   |  |  |                   |  |  |                       |  |  |                         |  |  |                                           |  |  |  |
| i. Internal security assessment processes                                |                                                                                                                 |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |                                                                         |  |  |                      |  |  |                                                                          |  |  |                     |  |  |                                   |  |  |                   |  |  |                       |  |  |                         |  |  |                                           |  |  |  |
| 3                                                                        | Whether a proper documented Change Management process has been instituted by the Processor?                     |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |                                                                         |  |  |                      |  |  |                                                                          |  |  |                     |  |  |                                   |  |  |                   |  |  |                       |  |  |                         |  |  |                                           |  |  |  |
| 4                                                                        | Whether the Processor has a documented policy and process of Incident management /response?                     |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |                                                                         |  |  |                      |  |  |                                                                          |  |  |                     |  |  |                                   |  |  |                   |  |  |                       |  |  |                         |  |  |                                           |  |  |  |
| 5                                                                        | Whether the Processor's environment is suitably protected from external threats by way of:                      | <table border="1"> <tr> <td data-bbox="512 1368 951 1420">a. Firewall</td> <td data-bbox="951 1368 1158 1420"></td> <td data-bbox="1158 1368 1402 1420"></td> </tr> <tr> <td data-bbox="512 1420 951 1471">b. WAF</td> <td data-bbox="951 1420 1158 1471"></td> <td data-bbox="1158 1420 1402 1471"></td> </tr> <tr> <td data-bbox="512 1471 951 1523">c. IDS/IPS</td> <td data-bbox="951 1471 1158 1523"></td> <td data-bbox="1158 1471 1402 1523"></td> </tr> <tr> <td data-bbox="512 1523 951 1574">d. AD</td> <td data-bbox="951 1523 1158 1574"></td> <td data-bbox="1158 1523 1402 1574"></td> </tr> <tr> <td data-bbox="512 1574 951 1626">e. AV</td> <td data-bbox="951 1574 1158 1626"></td> <td data-bbox="1158 1574 1402 1626"></td> </tr> <tr> <td data-bbox="512 1626 951 1677">f. NAC</td> <td data-bbox="951 1626 1158 1677"></td> <td data-bbox="1158 1626 1402 1677"></td> </tr> <tr> <td data-bbox="512 1677 951 1729">g. DLP</td> <td data-bbox="951 1677 1158 1729"></td> <td data-bbox="1158 1677 1402 1729"></td> </tr> <tr> <td data-bbox="512 1729 951 1718">h. Any other technology</td> <td data-bbox="951 1729 1158 1718"></td> <td data-bbox="1158 1729 1402 1718"></td> </tr> </table>                                                                                                                                                                                                                                                                                                            | a. Firewall                                                             |  |  | b. WAF               |  |  | c. IDS/IPS                                                               |  |  | d. AD               |  |  | e. AV                             |  |  | f. NAC            |  |  | g. DLP                |  |  | h. Any other technology |  |  |                                           |  |  |  |
| a. Firewall                                                              |                                                                                                                 |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |                                                                         |  |  |                      |  |  |                                                                          |  |  |                     |  |  |                                   |  |  |                   |  |  |                       |  |  |                         |  |  |                                           |  |  |  |
| b. WAF                                                                   |                                                                                                                 |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |                                                                         |  |  |                      |  |  |                                                                          |  |  |                     |  |  |                                   |  |  |                   |  |  |                       |  |  |                         |  |  |                                           |  |  |  |
| c. IDS/IPS                                                               |                                                                                                                 |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |                                                                         |  |  |                      |  |  |                                                                          |  |  |                     |  |  |                                   |  |  |                   |  |  |                       |  |  |                         |  |  |                                           |  |  |  |
| d. AD                                                                    |                                                                                                                 |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |                                                                         |  |  |                      |  |  |                                                                          |  |  |                     |  |  |                                   |  |  |                   |  |  |                       |  |  |                         |  |  |                                           |  |  |  |
| e. AV                                                                    |                                                                                                                 |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |                                                                         |  |  |                      |  |  |                                                                          |  |  |                     |  |  |                                   |  |  |                   |  |  |                       |  |  |                         |  |  |                                           |  |  |  |
| f. NAC                                                                   |                                                                                                                 |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |                                                                         |  |  |                      |  |  |                                                                          |  |  |                     |  |  |                                   |  |  |                   |  |  |                       |  |  |                         |  |  |                                           |  |  |  |
| g. DLP                                                                   |                                                                                                                 |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |                                                                         |  |  |                      |  |  |                                                                          |  |  |                     |  |  |                                   |  |  |                   |  |  |                       |  |  |                         |  |  |                                           |  |  |  |
| h. Any other technology                                                  |                                                                                                                 |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |                                                                         |  |  |                      |  |  |                                                                          |  |  |                     |  |  |                                   |  |  |                   |  |  |                       |  |  |                         |  |  |                                           |  |  |  |
| 6                                                                        | Whether rules are implemented on Firewalls of the Processor environment as per an approved process?             |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |                                                                         |  |  |                      |  |  |                                                                          |  |  |                     |  |  |                                   |  |  |                   |  |  |                       |  |  |                         |  |  |                                           |  |  |  |
| 7                                                                        | Whether firewall rule position is regularly monitored for presence of any vulnerable open port or any-any rule? |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |                                                                         |  |  |                      |  |  |                                                                          |  |  |                     |  |  |                                   |  |  |                   |  |  |                       |  |  |                         |  |  |                                           |  |  |  |
| 8                                                                        | Whether proper log generation, storage, management and analysis happens for the Processor application?          |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |                                                                         |  |  |                      |  |  |                                                                          |  |  |                     |  |  |                                   |  |  |                   |  |  |                       |  |  |                         |  |  |                                           |  |  |  |

| S. No | Controls to be implemented                                                                                                                                                                             | Compliance (Yes / No)        | If under implementation, give date by which implementation will be done |
|-------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------|-------------------------------------------------------------------------|
| 9     | Is the Processor maintaining all logs for forensic readiness related to:                                                                                                                               | a. Web                       |                                                                         |
|       |                                                                                                                                                                                                        | b. Application               |                                                                         |
|       |                                                                                                                                                                                                        | c. DB                        |                                                                         |
|       |                                                                                                                                                                                                        | d. Configuration             |                                                                         |
|       |                                                                                                                                                                                                        | e. User access               |                                                                         |
| 10    | Whether the Processor maintains logs for privileged access to their critical systems?                                                                                                                  |                              |                                                                         |
| 11    | Whether privilege access to the Processor environment is permitted from internet?                                                                                                                      |                              |                                                                         |
| 12    | Whether the Processor has captive SOC or Managed Service SOC for monitoring their systems and operations?                                                                                              |                              |                                                                         |
| 13    | Whether the Processor environment is segregated into militarized zone (MZ) and demilitarized zone (DMZ) separated by Firewall, where any access from an external entity is permitted through DMZ only? |                              |                                                                         |
| 14    | Whether Processor has deployed secure environments for their applications for:                                                                                                                         | a. Production                |                                                                         |
|       |                                                                                                                                                                                                        | b. Disaster recovery         |                                                                         |
|       |                                                                                                                                                                                                        | c. Testing environments      |                                                                         |
| 15    | Whether the Processor follows the best practices of creation of separate network zones (VLAN Segments) for:                                                                                            | a. Web                       |                                                                         |
|       |                                                                                                                                                                                                        | b. App                       |                                                                         |
|       |                                                                                                                                                                                                        | c. DB                        |                                                                         |
|       |                                                                                                                                                                                                        | d. Critical applications     |                                                                         |
|       |                                                                                                                                                                                                        | e. Non-Critical applications |                                                                         |
|       |                                                                                                                                                                                                        | f. UAT                       |                                                                         |
| 16    | Whether the Processor configures access to officials based on a documented and approved Role Conflict Matrix?                                                                                          |                              |                                                                         |
| 17    | Whether Internet access is permitted on:                                                                                                                                                               | a. Internal servers          |                                                                         |
|       |                                                                                                                                                                                                        | b. Database servers          |                                                                         |
|       |                                                                                                                                                                                                        | c. Any other servers         |                                                                         |
| 18    | Whether the Processor has deployed a dedicated information security team independent of IT, reporting                                                                                                  |                              |                                                                         |

| S. No | Controls to be implemented                                                                                                                                    | Compliance (Yes / No) | If under implementation, give date by which implementation will be done |
|-------|---------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------|-------------------------------------------------------------------------|
|       | directly to MD/CIO for conducting security related functions & operations?                                                                                    |                       |                                                                         |
| 19    | Whether CERT-IN Empaneled ISSPs are engaged by the third party for ensuring security posture of their application?                                            |                       |                                                                         |
| 20    | Whether quarterly vulnerability assessment and penetration testing is being done by the Processor for their infrastructure?                                   |                       |                                                                         |
| 21    | Whether suitable Security Certifications (ISO, PCI-DSS etc.) of the security posture at vendor environment are in place?                                      |                       |                                                                         |
| 22    | Whether the Processor has deployed any open source or free software in their environment?<br>If yes, whether security review has been done for such software? |                       |                                                                         |
| 23    | Whether the data shared with the Processor is owned by SBI (SBI = Information Owner)?                                                                         |                       |                                                                         |
| 24    | Whether the data shared with the Processor is of sensitive nature?                                                                                            |                       |                                                                         |
| 25    | Whether the requirement and the data fields to be stored by the Processor is approved by Information Owner?                                                   |                       |                                                                         |
| 26    | Where shared, whether the bare minimum data only is being shared? (Please document the NEED for sharing every data field)                                     |                       |                                                                         |
| 27    | Whether the data to be shared with Processor will be encrypted as per industry best standards with robust key management?                                     |                       |                                                                         |
| 28    | Whether the Processor is required to store the data owned by State Bank?                                                                                      |                       |                                                                         |
| 29    | Whether any data which is permitted to be stored by the Processor will be completely erased after processing by the Processor at their end?                   |                       |                                                                         |
| 30    | Whether the data shared with the Processor is stored with encryption (Data at rest encryption)?                                                               |                       |                                                                         |
| 31    | Whether the data storage technology (Servers /Public Cloud/ Tapes etc.) has been appropriately reviewed by IT AO?                                             |                       |                                                                         |
| 32    | Whether the Processor is required to share SBI specific data to any other party for any purpose?                                                              |                       |                                                                         |

| S. No | Controls to be implemented                                                                                                                                                                       | Compliance (Yes / No)                                                                                                                                                                                          | If under implementation, give date by which implementation will be done |
|-------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------|
| 33    | Whether a system of obtaining approval by the Processor from the IT Application Owner is put in place before carrying out any changes?                                                           |                                                                                                                                                                                                                |                                                                         |
| 34    | Whether Processor is permitted to take any crucial decisions on behalf of SBI without written approval from IT Application Owner?                                                                |                                                                                                                                                                                                                |                                                                         |
|       | If not, are such instances being monitored? IT Application Owner to describe the system of monitoring such instances.                                                                            |                                                                                                                                                                                                                |                                                                         |
| 35    | Whether Application Owner has verified that the Processor has implemented efficient and sufficient preventive controls to protect SBI's interests against any damage under section 43 of IT Act? |                                                                                                                                                                                                                |                                                                         |
| 36    | Whether the selection criteria for awarding the work to Processor vendor is based on the quality of service?                                                                                     |                                                                                                                                                                                                                |                                                                         |
| 37    | Whether the SLA/agreement between SBI and the Processor contains these clauses:                                                                                                                  | a. Right to Audit to SBI with scope defined                                                                                                                                                                    |                                                                         |
|       |                                                                                                                                                                                                  | b. Adherence by the vendor to SBI Information Security requirements including regular reviews, change management, port management, patch management, backup management, access management, log management etc. |                                                                         |
|       |                                                                                                                                                                                                  | c. Right to recall data by SBI.                                                                                                                                                                                |                                                                         |
|       |                                                                                                                                                                                                  | d. Regulatory and Statutory compliance at vendor site. Special emphasis on section 43A of IT Act 2000 apart from others.                                                                                       |                                                                         |
|       |                                                                                                                                                                                                  | e. Availability of Compensation clause in case of any data breach or incident resulting into any                                                                                                               |                                                                         |

| S. No | Controls to be implemented                                                                                                                                          | Compliance (Yes / No) | If under implementation, give date by which implementation will be done |
|-------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------|-------------------------------------------------------------------------|
|       | type of loss to SBI, due to vendor negligence.                                                                                                                      |                       |                                                                         |
|       | f. No Sharing of data with any third party without explicit written permission from competent Information Owner of the Bank including the Law Enforcement Agencies. |                       |                                                                         |

XXXXX

### Appendix -L

### NON-DISCLOSURE AGREEMENT

THIS RECIPROCAL NON-DISCLOSURE AGREEMENT (the "Agreement") is made at \_\_\_\_\_ between:

State Bank of India constituted under the State Bank of India Act, 1955 having its Corporate Centre and Central Office at State Bank Bhavan, Madame Cama Road, Nariman Point, Mumbai-21 through its Branch Redesign and Network Management Department (hereinafter referred to as "Bank" which expression includes its successors and assigns) of the ONE PART;

And

\_\_\_\_\_ a private/public limited company/LLP/Firm < incorporated under the provisions of the Companies Act, 1956/ Limited Liability Partnership Act 2008/ Indian Partnership Act 1932, having its registered office at \_\_\_\_\_ (hereinafter referred to as "\_\_\_\_\_") which expression shall unless repugnant to the subject or context thereof, shall mean and include its successors and permitted assigns) of the OTHER PART;

And Whereas

1. \_\_\_\_\_ is carrying on business of providing \_\_\_\_\_, has agreed to \_\_\_\_\_ for the Bank and other related tasks.

2. For purposes of advancing their business relationship, the parties would need to disclose certain valuable confidential information to each other (the Party receiving the information being referred to as the “Receiving Party” and the Party disclosing the information being referred to as the “Disclosing Party. Therefore, in consideration of covenants and agreements contained herein for the mutual disclosure of confidential information to each other, and intending to be legally bound, the parties agree to terms and conditions as set out hereunder.

**NOW IT IS HEREBY AGREED BY AND BETWEEN THE PARTIES AS UNDER**

1. **Confidential Information and Confidential Materials:**

- (a) “Confidential Information” means non-public information that Disclosing Party designates as being confidential or which, under the circumstances surrounding disclosure ought to be treated as confidential. “Confidential Information” includes, without limitation, information relating to developed, installed or purchased Disclosing Party software or hardware products, the information relating to general architecture of Disclosing Party’s network, information relating to nature and content of data stored within network or in any other storage media, Disclosing Party’s business policies, practices, methodology, policy design delivery, and information received from others that Disclosing Party is obligated to treat as confidential. Confidential Information disclosed to Receiving Party by any Disclosing Party Subsidiary and/ or agents is covered by this agreement
- (b) Confidential Information shall not include any information that: (i) is or subsequently becomes publicly available without Receiving Party’s breach of any obligation owed to Disclosing party; (ii) becomes known to Receiving Party free from any confidentiality obligations prior to Disclosing Party’s disclosure of such information to Receiving Party; (iii) became known to Receiving Party from a source other than Disclosing Party other than by the breach of an obligation of confidentiality owed to Disclosing Party and without confidentiality restrictions on use and disclosure; or (iv) is independently developed by Receiving Party.
- (c) “Confidential Materials” shall mean all tangible materials containing Confidential Information, including without limitation written or printed documents and computer disks or tapes, whether machine or user readable.

2. **Restrictions**

- (a) Each party shall treat as confidential the Contract and any and all information (“confidential information”) obtained from the other pursuant to the Contract and shall not divulge such information to any person (except to such party’s “Covered Person” which term shall mean employees, contingent workers and professional advisers of a party who need to know the same) without the other party’s written consent provided that this clause shall not extend to information which was rightfully in the possession of such party prior to the commencement of the negotiations leading to the Contract, which is already public knowledge or becomes so at a future date (otherwise than as a result of a breach of this clause). Receiving Party will have executed or shall execute appropriate written agreements with Covered Person, sufficient to enable it to comply with all the provisions of this Agreement. If the Service Provider appoints any Sub-Contractor (if allowed) then the Service Provider may disclose confidential information to such Sub-Contractor subject to such Sub Contractor giving the Bank an undertaking in similar terms to the provisions of this clause. Any breach of this Agreement by Receiving Party’s Covered Person or Sub-Contractor shall also be constructed a breach of this Agreement by Receiving Party.

- (b) Receiving Party may disclose Confidential Information in accordance with judicial or other governmental order to the intended recipients (as detailed in this clause), provided Receiving Party shall give Disclosing Party reasonable notice (provided not restricted by applicable laws) prior to such disclosure and shall comply with any applicable protective order or equivalent. The intended recipients for this purpose are:
  - i. the statutory auditors of the either party and
  - ii. government or regulatory authorities regulating the affairs of the parties and inspectors and supervisory bodies thereof
- (c) Confidential Information and Confidential Material may be disclosed, reproduced, summarized or distributed only in pursuance of Receiving Party's business relationship with Disclosing Party, and only as otherwise provided hereunder. Receiving Party agrees to segregate all such Confidential Material from the confidential material of others in order to prevent mixing.

3. **Rights and Remedies**

- (a) Receiving Party shall notify Disclosing Party immediately upon discovery of any unauthorized used or disclosure of Confidential Information and/ or Confidential Materials, or any other breach of this Agreement by Receiving Party, and will cooperate with Disclosing Party in every reasonable way to help Disclosing Party regain possession of the Confidential Information and/ or Confidential Materials and prevent its further unauthorized use.
- (b) Receiving Party shall return all originals, copies, reproductions and summaries of Confidential Information or Confidential Materials at Disclosing Party's request, or at Disclosing Party's option, certify destruction of the same.
- (c) Receiving Party acknowledges that monetary damages may not be the only and / or a sufficient remedy for unauthorized disclosure of Confidential Information and that disclosing party shall be entitled, without waiving any other rights or remedies (including but not limited to as listed below), to injunctive or equitable relief as may be deemed proper by a Court of competent jurisdiction.
  - i. Suspension of access privileges
  - ii. Change of personnel assigned to the job
  - iii. Termination of contract
- (d) Disclosing Party may visit Receiving Party's premises, with reasonable prior notice and during normal business hours, to review Receiving Party's compliance with the term of this Agreement.

4. **Miscellaneous**

- (a) All Confidential Information and Confidential Materials are and shall remain the sole and of Disclosing Party. By disclosing information to Receiving Party, Disclosing Party does not grant any expressed or implied right to Receiving Party to disclose information under the Disclosing Party's patents, copyrights, trademarks, or trade secret information.
- (b) Confidential Information made available is provided "As Is," and disclosing party disclaims all representations, conditions and warranties, express or implied, including, without limitation, representations, conditions or warranties of accuracy, completeness, performance, fitness for a particular purpose, satisfactory quality and merchantability provided same shall not be construed to include fraud or wilful default of disclosing party.
- (c) Neither party grants to the other party any license, by implication or otherwise, to use the Confidential Information, other than for the limited purpose of evaluating or advancing a business relationship between the parties, or any license rights whatsoever in any patent, copyright or other intellectual property rights pertaining to the Confidential Information.
- (d) The terms of Confidentiality under this Agreement shall not be construed to limit either party's right to independently develop or acquire product without use of the other party's Confidential Information. Further, either party shall be free to use for any purpose the residuals resulting from access to or work with such Confidential Information, provided that such party shall maintain the confidentiality of the Confidential Information as provided herein. The term "residuals" means information in non-tangible form, which may be retained by person who has had access to the Confidential Information, including ideas, concepts, know-how or techniques contained therein. Neither party shall have any obligation to limit or restrict the assignment of such persons or to pay royalties for any work resulting from the use of residuals. However, the foregoing shall not be deemed to grant to either party a license under the other party's copyrights or patents.
- (e) This Agreement constitutes the entire agreement between the parties with respect to the subject matter hereof. It shall not be modified except by a written agreement dated subsequently to the date of this Agreement and signed by both parties. None of the provisions of this Agreement shall be deemed to have been waived by any act or acquiescence on the part of Disclosing Party, its agents, or employees, except by an instrument in writing signed by an authorized officer of Disclosing Party. No waiver of any provision of this Agreement shall constitute a waiver of any other provision(s) or of the same provision on another occasion.
- (f) In case of any dispute, both the parties hereby irrevocably submits to the exclusive jurisdiction of the courts of Mumbai.
- (g) Subject to the limitations set forth in this Agreement, this Agreement will inure to the benefit of and be binding upon the parties, their successors and assigns.
- (h) If any provision of this Agreement shall be held by a court of competent jurisdiction to be illegal, invalid or unenforceable, the remaining provisions shall remain in full force and effect.



(i) The Agreement shall be effective from \_\_\_\_\_ ("Effective Date") and shall be valid for a period of \_\_\_\_\_ year(s) thereafter (the "Agreement Term"). The foregoing obligations as to confidentiality shall survive the term of this Agreement and for a period of five (5) years thereafter provided confidentiality obligations with respect to individually identifiable information, customer's data of Parties or software in human-readable form (e.g., source code) shall survive in perpetuity.

**5. Suggestions and Feedback**

Either party from time to time may provide suggestions, comments or other feedback to the other party with respect to Confidential Information provided originally by the other party (hereinafter "feedback"). Both party agree that all Feedback is and shall be entirely voluntary and shall not in absence of separate agreement, create any confidentially obligation for the receiving party. However, the Receiving Party shall not disclose the source of any feedback without the providing party's consent. Feedback shall be clearly designated as such and, except as otherwise provided herein, each party shall be free to disclose and use such Feedback as it sees fit, entirely without obligation of any kind to other party. The foregoing shall not, however, affect either party's obligations hereunder with respect to Confidential Information of other party.

Dated this \_\_\_\_\_ day of \_\_\_\_\_ (Month) 20\_\_ at \_\_\_\_\_(place)

For and on behalf of \_\_\_\_\_

|             |  |  |
|-------------|--|--|
| Name        |  |  |
| Designation |  |  |
| Place       |  |  |
| Signature   |  |  |

For and on behalf of \_\_\_\_\_

|             |  |  |
|-------------|--|--|
| Name        |  |  |
| Designation |  |  |
| Place       |  |  |
| Signature   |  |  |

**Pre-Bid Query Format**  
**(To be provide strictly in Excel format)**

| <b>Vendor Name</b> | <b>Sl. No</b> | <b>RFP Page No</b> | <b>RFP Clause No.</b> | <b>Existing Clause</b> | <b>Query/Suggestions</b> |
|--------------------|---------------|--------------------|-----------------------|------------------------|--------------------------|
|                    |               |                    |                       |                        |                          |
|                    |               |                    |                       |                        |                          |
|                    |               |                    |                       |                        |                          |
|                    |               |                    |                       |                        |                          |

**Format for Submission of Client References**

**To whosoever it may concern**

| <b>Particulars</b>                                     | <b>Details</b> |
|--------------------------------------------------------|----------------|
|                                                        |                |
| <b>Client Information</b>                              |                |
| Client Name                                            |                |
| Client address                                         |                |
| Name of the contact person and designation             |                |
| Phone number of the contact person                     |                |
| E-mail address of the contact person                   |                |
| <b>Project Details</b>                                 |                |
| Name of the Project                                    |                |
| Start Date                                             |                |
| End Date                                               |                |
| Current Status (In Progress / Completed)               |                |
| <b>Size of Project</b>                                 |                |
| Value of Work Order (In Lakh) (only single work order) |                |
|                                                        |                |

**Name & Signature of authorised signatory**

**Seal of Company**

**PRE CONTRACT INTEGRITY PACT**  
***(TO BE STAMPED AS AN AGREEMENT)***

General

This pre-Bid pre-contract Agreement (hereinafter called the Integrity Pact) is made on \_\_\_\_\_ day of the month of \_\_\_\_\_ 201 , between, on the one hand, the State Bank of India a body corporate incorporated under the State Bank of India Act, 1955 having its Corporate Centre at State Bank Bhavan, Nariman Point, Mumbai through its \_\_\_\_\_ Department / Office at Global IT Center at CBD Belapur, 400614, (hereinafter called the "BUYER", which expression shall mean and include, unless the context otherwise requires, its successors) of the First Part

And

M/s \_\_\_\_\_ represented by Shri \_\_\_\_\_, Chief Executive Officer/ Authorised signatory (hereinafter called the "BIDDER/Seller which expression shall mean and include, unless the context otherwise requires, its / his successors and permitted assigns of the Second Part.

WHEREAS the BUYER proposes to procure (Name of the Stores/Equipment/Item) and the BIDDER/Seller is willing to offer/has offered the stores and

WHEREAS the BIDDER is a private company/public company/Government undertaking/partnership/registered export agency, constituted in accordance with the relevant law in the matter and the BUYER is an Office / Department of State Bank of India performing its functions on behalf of State Bank of India.

NOW, THEREFORE,

To avoid all forms of corruption by following a system that is fair, transparent and free from any influence/prejudiced dealings prior to, during and subsequent to the currency of the contract to be entered into with a view to :

- Enabling the BUYER to obtain the desired service / product at a competitive price in conformity with the defined specifications by avoiding the high cost and the distortionary impact of corruption on public procurement; and
- Enabling BIDDERS to abstain from bribing or indulging in any corrupt practice in order to secure the contract by providing assurance to them that their competitors will also abstain from bribing and other corrupt practices and the BUYER will commit to prevent

corruption, in any form, by its officials by following transparent procedures.

The parties hereto hereby agree to enter into this Integrity Pact and agree as follows:

**1. Commitments of the BUYER**

- 1.1 The BUYER undertakes that no official of the BUYER, connected directly or indirectly with the contract, will demand, take a promise for or accept, directly or through intermediaries, any bribe, consideration, gift, reward, favour or any material or immaterial benefit or any other advantage from the BIDDER, either for themselves or for any person, organisation or third party related to the contract in exchange for an advantage in the bidding process, Bid evaluation, contracting or implementation process related to the contract.
- 1.2 The BUYER will, during the pre-contract stage, treat all BIDDERS alike, and will provide to all BIDDERS the same information and will not provide any such information to any particular BIDDER which could afford an advantage to that particular BIDDER in comparison to other BIDDERS.
- 1.3 All the officials of the BUYER will report to the appropriate authority any attempted or completed breaches of the above commitments as well as any substantial suspicion of such a breach.
- 1.4 In case any such preceding misconduct on the part of such official(s) is reported by the BIDDER to the BUYER with full and verifiable facts and the same is prima facie found to be correct by the BUYER, necessary disciplinary proceedings, or any other action as deemed fit, including criminal proceedings may be initiated by the BUYER and such a person shall be debarred from further dealings related to the contract process. In such a case while an enquiry is being conducted by the BUYER the proceedings under the contract would not be stalled.

**2. Commitments of BIDDERS**

- 2.1 The BIDDER commits itself to take all measures necessary to prevent corrupt practices, unfair means and illegal activities during any stage of its Bid or during any pre-contract or post-contract stage in order to secure the contract or in furtherance to secure it and in particular commit itself to the following:
- 2.2 The BIDDER will not offer, directly or through intermediaries, any bribe, gift, consideration, reward, favour, any material or immaterial benefit or other advantage, commission, fees, brokerage or inducement to any official of the BUYER, connected directly or indirectly with the bidding process, or to any person, organisation or third party related to the contract in exchange for any advantage in the bidding, evaluation, contracting and implementation of the contract.
- 2.3 The BIDDER further undertakes that it has not given, offered or promised to give, directly or indirectly any bribe, gift, consideration, reward, favour, any material or immaterial benefit or other advantage, commission, fees, brokerage or inducement to any official of the BUYER or otherwise in procuring the Contract or forbearing to do or having done any act in relation to the obtaining or execution of the contract or any other contract with State

Bank of India for showing or forbearing to show favour or disfavour to any person in relation to the contract or any other contract with State Bank of India.

- 2.4 Wherever applicable, the BIDDER shall disclose the name and address of agents and representatives permitted by the Bid documents and Indian BIDDERS shall disclose their foreign principals or associates, if any.
- 2.5 The BIDDER confirms and declares that they have not made any payments to any agents/brokers or any other intermediary, in connection with this Bid/contract.
- 2.6 The BIDDER further confirms and declares to the BUYER that the BIDDER is the original vendors or service providers in respect of product / service covered in the Bid documents and the BIDDER has not engaged any individual or firm or company whether Indian or foreign to intercede, facilitate or in any way to recommend to the BUYER or any of its functionaries, whether officially or unofficially to the award of the contract to the BIDDER, nor has any amount been paid, promised or intended to be paid to any such individual, firm or company in respect of any such intercession, facilitation or recommendation.
- 2.7 The BIDDER, at the earliest available opportunity, i.e. either while presenting the Bid or during pre-contract negotiations and in any case before opening the financial Bid and before signing the contract, shall disclose any payments he has made, is committed to or intends to make to officials of the BUYER or their family members, agents, brokers or any other intermediaries in connection with the contract and the details of services agreed upon for such payments.
- 2.8 The BIDDER will not collude with other parties interested in the contract to impair the transparency, fairness and progress of the bidding process, Bid evaluation, contracting and implementation of the contract.
- 2.9 The BIDDER will not accept any advantage in exchange for any corrupt practice, unfair means and illegal activities.
- 2.10 The BIDDER shall not use improperly, for purposes of competition or personal gain, or pass on to others, any information provided by the BUYER as part of the business relationship, regarding plans, technical proposals and business details, including information contained in any electronic data carrier. The BIDDER also undertakes to exercise due and adequate care lest any such information is divulged.
- 2.11 The BIDDER commits to refrain from giving any complaint directly or through any other manner without supporting it with full and verifiable facts.
- 2.12 The BIDDER shall not instigate or cause to instigate any third person to commit any of the actions mentioned above.
- 2.13 If the BIDDER or any employee of the BIDDER or any person acting on behalf of the BIDDER, either directly or indirectly, is a relative of any of the officers of the BUYER, or alternatively, if any relative of an officer of the BUYER has financial Interest/stake in the BIDDER's firm, the same shall be disclosed by the BIDDER at the time of filing of tender. The term 'relative' for this purpose would be as defined in Section 6 of the Companies Act 1956.
- 2.14 The BIDDER shall not lend to or borrow any money from or enter into any monetary dealings or transactions, directly or indirectly, with any employee of the BUYER.

### 3. Previous Transgression

- 3.1 The BIDDER declares that no previous transgression occurred in the last three years immediately before signing of this Integrity Pact, with any other company in any country in respect of any corrupt practices envisaged hereunder or with any Public Sector Enterprise / Public Sector Banks in India or any Government Department in India or RBI that could justify BIDDER's exclusion from the tender process.
- 3.2 The BIDDER agrees that if it makes incorrect statement on this subject, BIDDER can be disqualified from the tender process or the contract, if already awarded, can be terminated for such reason.

### 4. Earnest Money (Security Deposit)

- 4.1 While submitting commercial Bid, the BIDDER shall deposit an amount (specified in RFP) as Earnest Money/Security Deposit, with the BUYER through any of the mode mentioned in the RFP / Bid document and no such mode is specified, by a Bank Draft or a Pay Order in favour of State Bank of India from any Bank including SBI . However payment of any such amount by way of Bank Guarantee, if so permitted as per Bid documents / RFP should be from any Scheduled Commercial Bank other than SBI and promising payment of the guaranteed sum to the BUYER on demand within three working days without any demur whatsoever and without seeking any reasons whatsoever. The demand for payment by the BUYER shall be treated as conclusive proof for making such payment to the BUYER.
- 4.2 Unless otherwise stipulated in the Bid document / RFP, the Earnest Money/Security Deposit shall be valid upto a period of five years or the complete conclusion of the contractual obligations to the complete satisfaction of both the BIDDER and the BUYER, including warranty period, whichever is later.
- 4.3 In case of the successful BIDDER a clause would also be incorporated in the Article pertaining to Performance Bond in the Purchase Contract that the provisions of Sanctions for Violation shall be applicable for forfeiture of Performance Bond in case of a decision by the BUYER to forfeit the same-without assigning any reason for imposing sanction for violation of this Pact.
- 4.4 No interest shall be payable by the BUYER to the BIDDER on Earnest Money/Security Deposit for the period of its currency.

### 5. Sanctions for Violations

- 5.1 Any breach of the aforesaid provisions by the BIDDER or any one employed by it or acting on its behalf (whether with or without the knowledge of the BIDDER) shall entitle the BUYER to take all or any one of the following actions, wherever required:
- (i) To immediately call off the pre contract negotiations without assigning any reason and without giving any compensation to the BIDDER. However, the proceedings with the other BIDDER(s) would continue, unless the BUYER desires to drop the entire process.
  - (ii) The Earnest Money Deposit (in pre-contract stage) and/or Security Deposit/Performance Bond (after the contract is signed) shall stand forfeited either fully or partially, as decided

- by the BUYER and the BUYER shall not be required to assign any reason therefore.
- (iii) To immediately cancel the contract, if already signed, without giving any compensation to the BIDDER.
  - (iv) To recover all sums already paid by the BUYER, and in case of an Indian BIDDER with interest thereon at 2% higher than the prevailing Base Rate of State Bank of India, while in case of a BIDDER from a country other than India with interest thereon at 2% higher than the LIBOR. If any outstanding payment is due to the BIDDER from the BUYER in connection with any other contract for any other stores, such outstanding could also be utilized to recover the aforesaid sum and interest.
  - (v) To encash the advance bank guarantee and performance bond/warranty bond, if furnished by the BIDDER, in order to recover the payments, already made by the BUYER, along with interest.
  - (vi) To cancel all or any other Contracts with the BIDDER. The BIDDER shall be liable to pay compensation for any loss or damage to the BUYER resulting from such cancellation/rescission and the BUYER shall be entitled to deduct the amount so payable from the money(s) due to the BIDDER.
  - (vii) To debar the BIDDER from participating in future bidding processes of the BUYER or any of its Subsidiaries for a minimum period of five years, which may be further extended at the discretion of the BUYER.
  - (viii) To recover all sums paid, in violation of this Pact, by BIDDER(s) to any middleman or agent or broker with a view to securing the contract.
  - (ix) Forfeiture of Performance Bond in case of a decision by the BUYER to forfeit the same without assigning any reason for imposing sanction for violation of this Pact.
  - (x) Intimate to the CVC, IBA, RBI, as the BUYER deemed fit the details of such events for appropriate action by such authorities.

5.2 The BUYER will be entitled to take all or any of the actions mentioned at para 5.1(i) to (x) of this Pact also on the Commission by the BIDDER or any one employed by it or acting on its behalf (whether with or without the knowledge of the BIDDER), of an offence as defined in Chapter IX of the Indian Penal code, 1860 or Prevention of Corruption Act, 1988 or any other statute enacted for prevention of corruption.

5.3 The decision of the BUYER to the effect that a breach of the provisions of this Pact has been committed by the BIDDER shall be final and conclusive on the BIDDER. However, the BIDDER can approach the Independent Monitor(s) appointed for the purposes of this Pact.

## 6. Fall Clause

The BIDDER undertakes that it has not supplied/is not supplying similar product/systems or subsystems at a price lower than that offered in the present Bid in respect of any other Ministry/Department of the Government of India or PSU or any other Bank and if it is found at any stage that similar product/systems or sub systems was supplied by the BIDDER to any other Ministry/Department of the Government of India or a PSU or a Bank at a lower price, then that very price, with due allowance for elapsed time, will be

applicable to the present case and the difference in the cost would be refunded by the BIDDER to the BUYER, if the contract has already been concluded.

## 7. Independent Monitors

- 7.1 The BUYER has appointed Independent Monitors (hereinafter referred to as Monitors) for this Pact in consultation with the Central Vigilance Commission (Names and Addresses of the Monitors to be given).

|                                                                                            |  |
|--------------------------------------------------------------------------------------------|--|
| Shri Otem Dai, IAS (Retd.)<br><a href="mailto:otemdai@hotmail.com">otemdai@hotmail.com</a> |  |
|--------------------------------------------------------------------------------------------|--|

- 7.2 The task of the Monitors shall be to review independently and objectively, whether and to what extent the parties comply with the obligations under this Pact.
- 7.3 The Monitors shall not be subjected to instructions by the representatives of the parties and perform their functions neutrally and independently.
- 7.4 Both the parties accept that the Monitors have the right to access all the documents relating to the project/procurement, including minutes of meetings. Parties signing this Pact shall not approach the Courts while representing the matters to Independent External Monitors and he/she will await their decision in the matter.
- 7.5 As soon as the Monitor notices, or has reason to believe, a violation of this Pact, he will so inform the Authority designated by the BUYER.
- 7.6 The BIDDER(s) accepts that the Monitor has the right to access without restriction to all Project documentation of the BUYER including that provided by the BIDDER. The BIDDER will also grant the Monitor, upon his request and demonstration of a valid interest, unrestricted and unconditional access to his project documentation. The same is applicable to Subcontractors. The Monitor shall be under contractual obligation to treat the information and documents of the BIDDER/Subcontractor(s) with confidentiality.
- 7.7 The BUYER will provide to the Monitor sufficient information about all meetings among the parties related to the Project provided such meetings could have an impact on the contractual relations between the parties. The parties will offer to the Monitor the option to participate in such meetings.
- 7.8 The Monitor will submit a written report to the designated Authority of BUYER/Secretary in the Department/ within 8 to 10 weeks from the date of reference or intimation to him by the BUYER / BIDDER and, should the occasion arise, submit proposals for correcting problematic situations.

## 8. Facilitation of Investigation

In case of any allegation of violation of any provisions of this Pact or payment of commission, the BUYER or its agencies shall be entitled to examine all the documents including the Books of Accounts of the BIDDER and the BIDDER shall provide necessary information and documents in English and shall extend all possible help for

the purpose of such examination.

**9. Law and Place of Jurisdiction**

This Pact is subject to Indian Law. The place of performance and jurisdiction is the seat of the BUYER.

**10. 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 provisions of the extant law in force relating to any civil or criminal proceedings.

**11. Validity**

11.1 The validity of this Integrity Pact shall be from date of its signing and extend upto 6 years or the complete execution of the contract to the satisfaction of both the BUYER and the BIDDER/Seller, including warranty period, whichever is later. In case BIDDER is unsuccessful, this Integrity Pact shall expire after six months from the date of the signing of the contract, with the successful Bidder by the BUYER.

11.2 Should one or several provisions of this Pact turn out to be invalid; the remainder of this Pact shall remain valid. In this case, the parties will strive to come to an agreement to their original intentions.

12. The parties hereby sign this Integrity Pact at \_\_\_\_\_ on \_\_\_\_\_

For BUYER  
Name of the Officer.  
Designation  
Office / Department / Branch  
State Bank of India.

For BIDDER  
Chief Executive Officer/  
Authorised Signatory  
Designation

Witness

1

2

Witness

1.

2.

**Note: This agreement will require stamp duty as applicable in the State where it is executed or stamp duty payable as per Maharashtra Stamp Act, whichever is higher.**

**FORMAT FOR EMD BANK GUARANTEE**

To:

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**EMD BANK GUARANTEE FOR**

**NAME OF SOFTWARE SOLUTION/ SERVICES TO STATE BANK OF INDIA TO MEET SUCH REQUIRMENT AND PROVIDE SUCH SOFTWARE SOLUTION/ SERVICES AS ARE SET OUT IN THE RFP NO.SBI:xx:xx DATED dd/mm/yyyy**

WHEREAS State Bank of India (SBI), having its Corporate Office at Nariman Point, Mumbai, and Regional offices at other State capital cities in India has invited Request for Proposal to develop, implement and support \_\_\_\_\_(name of Software Solution/ Service) as are set out in the Request for Proposal SBI:xx:xx dated dd/mm/yyyy.

2. It is one of the terms of said Request for Proposal that the Bidder shall furnish a Bank Guarantee for a sum of Rs. \_\_\_\_\_/-(Rupees \_\_\_\_\_ only) as Earnest Money Deposit.

3. M/s. \_\_\_\_\_, (hereinafter called as Bidder, who are our constituents intends to submit their Bid for the said work and have requested us to furnish guarantee in respect of the said sum of Rs. \_\_\_\_\_/-(Rupees \_\_\_\_\_ only)

4. NOW THIS GUARANTEE WITNESSETH THAT

We \_\_\_\_\_ (Bank) do hereby agree with and undertake to the State Bank of India, their Successors, assigns that in the event of the SBI coming to the conclusion that the Bidder has not performed their obligations under the said conditions of the RFP or have committed a breach thereof, which conclusion shall be binding on us as well as the said Bidder, we shall on demand by the SBI, pay without demur to the SBI, a sum of Rs. \_\_\_\_\_/- (Rupees \_\_\_\_\_ Only) that may be demanded by SBI. Our guarantee shall be treated as equivalent to the Earnest Money Deposit for the due performance of the obligations of the Bidder under the said conditions, provided, however, that our liability against such sum shall not exceed the sum of Rs. \_\_\_\_\_/- (Rupees \_\_\_\_\_ Only).

5. We also agree to undertake to and confirm that the sum not exceeding Rs. \_\_\_\_\_/- (Rupees \_\_\_\_\_ Only) as aforesaid shall be paid by us without any demur or protest, merely on demand from the SBI on receipt of a notice in writing stating the amount is due to them and we shall not ask for any further proof or evidence and the notice from the SBI shall be conclusive and binding on us and shall not be questioned by us in any respect or manner whatsoever. We undertake to pay the amount claimed by the SBI, without protest or demur or without reference to Bidder and notwithstanding any contestation or existence of any dispute whatsoever between Bidder and SBI, pay SBI forthwith from the date of receipt of the notice as aforesaid. We confirm that our obligation to the SBI under this guarantee shall be independent of

the agreement or agreements or other understandings between the SBI and the Bidder. This guarantee shall not be revoked by us without prior consent in writing of the SBI.

6. We hereby further agree that –

- a) Any forbearance or commission on the part of the SBI in enforcing the conditions of the said agreement or in compliance with any of the terms and conditions stipulated in the said Bid and/or hereunder or granting of any time or showing of any indulgence by the SBI to the Bidder or any other matter in connection therewith shall not discharge us in any way our obligation under this guarantee. This guarantee shall be discharged only by the performance of the Bidder of their obligations and in the event of their failure to do so, by payment by us of the sum not exceeding Rs. \_\_\_\_\_/- (Rupees \_\_\_\_\_ Only)
- b) Our liability under these presents shall not exceed the sum of Rs. \_\_\_\_\_/- (Rupees \_\_\_\_\_ Only)
- c) Our liability under this agreement shall not be affected by any infirmity or irregularity on the part of our said constituents in tendering for the said work or their obligations there under or by dissolution or change in the constitution of our said constituents.
- d) This guarantee shall remain in force upto 180 days provided that if so desired by the SBI, this guarantee shall be renewed for a further period as may be indicated by them on the same terms and conditions as contained herein.
- e) Our liability under this presents will terminate unless these presents are renewed as provided herein upto 180 days or on the day when our said constituents comply with their obligations, as to which a certificate in writing by the SBI alone is the conclusive proof, whichever date is earlier.
- f) Unless a claim or suit or action is filed against us on or before \_\_\_\_ (date to be filled by BG issuing bank), all the rights of the SBI against us under this guarantee shall be forfeited and we shall be released and discharged from all our obligations and liabilities hereunder.
- g) This guarantee shall be governed by Indian Laws and the Courts in Mumbai, India alone shall have the jurisdiction to try & entertain any dispute arising out of this guarantee.

Notwithstanding anything contained hereinabove:

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

Yours faithfully,

For and on behalf of

\_\_\_\_\_  
Authorized official of the bank

(Note: This guarantee will require stamp duty as applicable in the State where it is executed and shall be signed by the official(s) whose signature and authority shall be verified)

## Appendix-Q

### Data Processing Agreement

≤ Applicable in case of activities for which selection of vendor/outsourcing of activities has been initiated involve access/sharing/transfer of Personal Data/PII of EU/UK NRI customers>

This Data Processing Agreement ("Agreement") forms part of the Contract for Services ("Principal Agreement") dated \_\_\_\_\_ between:

(i) State Bank of India ("Controller")

#### And

(ii) M/s. \_\_\_\_\_ ("Data Processor")

WHEREAS:

(A) State Bank of India (hereafter referred to as "SBI") acts as a Data Controller.

(B) SBI wishes to contract certain Services (provided in Schedule 1), which imply the processing of personal data (provided in Schedule 2), to the Data Processor.

The Parties seek to implement a data processing agreement that complies with the requirements of the current legal framework in relation to data processing and with the Regulation (EU) 2016/679 of the European Parliament and of the Council of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data and repealing Directive 95/46/EC (General Data Protection Regulation) and any other data protection and privacy laws applicable to the Services.

(C) The Parties wish to lay down their rights and obligations (Processor obligations in Clause 3).

IT IS AGREED AS FOLLOWS:

#### **1. Definitions and Interpretation:**

1.1 Unless otherwise defined herein, terms and expressions used in this Agreement shall have the following meaning:

1.1.1 "Agreement" means this Data Processing Agreement and all schedules.

1.1.2 "Controller" has the meaning given to "data controller" in the UK Data Protection Act 1998 and "controller" in the General Data Protection Regulation (as applicable).

1.1.3 "Client" means a customer of State Bank of India.

1.1.4 "Data Protection Legislation" means as applicable, the UK Data Protection Act 1998, Directive 95/46/EC of the European Parliament and any laws or regulations implementing it, the Regulation (EU) 2016/679 of the European Parliament and of the Council of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data (General Data Protection Regulation) and any equivalent or replacement law in the UK and any other data protection and privacy laws applicable to the Services.

1.1.5 "Data subject" has the meaning given to it in the Data Protection Legislation.

1.1.6 "Personal Data" has the meaning given to it in the Data Protection Legislation and relates only to Personal Data processed by a Contracted Processor on behalf of SBI pursuant to or in connection with the Principal Agreement in relation to the Services provided.

1.1.7 "Processor" means a data processor providing services to SBI.

1.1.8 "Subprocessor" means any person appointed by or on behalf of Processor to process Personal Data on behalf of SBI in connection with the Agreement.

1.1.9 "Data Protection Laws" means EU Data Protection Laws and, to the extent applicable, the data protection or privacy laws of any other country.

1.1.10 "EEA" means the European Economic Area.

1.1.11 "EU Data Protection Laws" means EU Directive 95/46/EC, as transposed into domestic legislation of each Member State and as amended, replaced or superseded from time to time, including by the GDPR and laws implementing or supplementing the GDPR.

1.1.12 "GDPR" means EU General Data Protection Regulation 2016/679.

1.1.13 "Data Transfer" means:

1.1.13.1 a transfer of Personal Data from SBI to a Processor; or

1.1.13.2 an onward transfer of Personal Data from a Processor to a Subcontracted Processor, or between two establishments of a Processor, in each case, where such transfer would be prohibited by Data Protection Laws (or by the terms of data transfer agreements put in place to address the data transfer restrictions of Data Protection Laws).

1.1.14 "Services" means the services to be performed by the Processor described in the Principal Agreement (as provided in Schedule 1).

1.1.15 “Supervisory authority” has the meaning given to it in the Data Protection Legislation.

1.1.16 “Personal data breach” has the meaning given to it in the Data Protection Legislation.

1.1.17 “Personnel” means the personnel of the Processor, Subcontractors and Sub processors who provide the applicable Services; and

1.1.18 “Third country” has the meaning given to it in the Data Protection Legislation.

## **2. Processing of Personal Data:**

2.1 In the course of providing Services to State Bank of India, the Processor may process Personal Data on behalf of State Bank of India.

2.2 Processor shall:

2.2.1 comply with all applicable Data Protection Laws in the Processing of Personal Data; and

2.2.2 not Process Personal Data other than on the relevant documented instructions of SBI.

## **3. PROCESSOR OBLIGATIONS:**

### **3.1 Processor Personnel:**

Processor shall take reasonable steps to ensure the reliability of any employee, agent or sub-processor who may have access to Personal Data, ensuring in each case that access is strictly limited to those individuals who need to know / access the relevant Personal Data, as strictly necessary for the purposes of the Principal Agreement, and to comply with Applicable Laws in the context of that individual's duties to the Processor, ensuring that all such individuals are subject to confidentiality undertakings or professional or statutory obligations of confidentiality.

3.1.1. The Processor shall process Personal Data only on the documented instructions from State Bank of India from time to time. State Bank of India shall notify the Processor of any amendments to existing instructions or additional instructions in relation to the processing of Personal Data in writing and Processor shall promptly comply with such instructions.

3.1.2. Notwithstanding clause 3.1, the Processor (and its Personnel) may process the Personal Data if it is required to do so by European Union law, Member State law or to satisfy any other legal obligations to which it is subject. In such circumstance, the Processor shall notify State Bank of India of that requirement before it processes the Personal Data, unless the applicable law prohibits it from doing so.

3.1.3. The Processor shall immediately notify State Bank of India if, in Processor's opinion, State Bank of India's documented data processing instructions breach the Data Protection Legislation. If and to the extent the Processor is unable to comply with any instruction received from State Bank of India, it shall promptly notify State Bank of India accordingly.

3.1.4. The purpose of the Processor processing Personal Data is the performance of the Services pursuant to the Principal Agreement.

### **3.2 Security:**

**3.2.1** Taking into account the nature, scope, context and purposes of Processing (provided in Schedule 2) as well as the risk of varying likelihood and severity for the rights and freedoms of natural persons, Processor shall in relation to Personal Data implement appropriate technical and organizational measures (Processor obligations in Schedule 3) to ensure a level of security appropriate to that risk, including, as appropriate, the measures referred to in Article 32(1) of the GDPR.

**3.2.2** In assessing the appropriate level of security, Processor shall take into account, in particular, risks related to processing of Personal Data.

**3.2.3** The Processor shall use appropriate technical and organisational measures to prevent the unauthorised or unlawful processing of Personal Data and protect against accidental loss or destruction of, or damage to, any Personal Data during processing activities. It shall implement and maintain the security safeguards and standards based on the IS policy of State Bank of India as updated and notified to the Processor by State Bank of India from time to time. The Processor will not decrease the overall level of security safeguards and standards during the term of this Agreement without State Bank of India's prior consent.

### **3.3 Sub-Processing:**

**3.3.1** The Processor shall not appoint (or disclose any Personal Data to) any Sub- Processors without prior written authorisation from State Bank of India. The Processor shall provide State Bank of India with [no less than [xx days] prior written (including email) notice before engaging a new Sub processor thereby giving State Bank of India an opportunity to object to such changes. If State Bank of India wishes to object to such new Sub processor, then State Bank of India may terminate the relevant Services without penalty by providing written notice of termination which includes an explanation of the reasons for such objection.

**3.3.2** The Processor shall include in any contract with its Sub processors who will process Personal Data on State Bank of India's behalf, obligations on such Sub processors which are no less onerous than those obligations imposed upon the Processor in this Agreement relating to Personal Data. The Processor shall be liable for the acts and omissions of its Sub processors to the same extent to which the Processor would be liable if performing the services of each Sub processor directly under the terms of this Agreement.

### **3.4 Data Subject Rights:**

Data subjects (SBI NRI customers) whose Personal Data is processed pursuant to this Agreement have the right to request access to and the correction, deletion or blocking of such Personal Data under Data Protection Legislation. Such requests shall be addressed to and be considered by State Bank of India responsible for ensuring such requests are handled in accordance with Data Protection Legislation.

**3.4.1** Taking into account the nature of the Processing, Processor shall assist SBI by implementing appropriate technical and organisational measures (Processor obligations in Schedule 3), insofar as

this is possible, for the fulfilment of SBI's obligations, as reasonably understood by SBI, to respond to requests to exercise Data Subject rights under the Data Protection Laws.

3.4.2 In case Data Subject Requests are received by Processor, then the Processor shall:

3.4.2.1 promptly notify SBI if it receives a request from a Data Subject under any Data Protection Law in respect of Personal Data; and

3.4.2.2 ensure that it does not respond to that request except on the documented instructions of SBI or as required by Applicable Laws to which the Processor is subject, in which case Processor shall to the extent permitted by Applicable Laws.

3.4.2.3 inform SBI of that legal requirement before the Processor responds to the request.

### **3.5 Personal Data Breach:**

3.5.1 Processor shall notify SBI without undue delay upon Processor becoming aware of a Personal Data Breach affecting Personal Data, providing SBI with sufficient information to allow SBI to meet any obligations to report or inform Data Subjects of the Personal Data Breach under the Data Protection Laws.

3.5.2 Processor shall co-operate with SBI and take reasonable commercial steps as are directed by SBI to assist in the investigation, mitigation and remediation of each such Personal Data Breach.

### **3.6 Data Protection Impact Assessment and Prior Consultation:**

Processor shall provide reasonable assistance to SBI with any data protection impact assessments, and prior consultations with Supervising Authorities or other competent data privacy authorities, which SBI reasonably considers to be required by article 35 or 36 of the GDPR or equivalent provisions of any other Data Protection Law, in each case solely in relation to Processing of Personal Data by and taking into account the nature of the Processing and information available to, the Processors.

### **3.7 Deletion or return of Personal Data:**

**3.7.1** Subject to this section 3.7 Processor shall, promptly and in any event within <XX> business days of the date of cessation of any Services involving the Processing of Personal Data (the "Cessation Date"), delete all copies of those Personal Data.

**3.7.2** Processor shall provide written certification to SBI that it has fully complied with this section 3.7 within < XX > business days of the Cessation Date.

### **3.8 Audit Rights:**

The Processor shall make available to State Bank of India and any supervisory authority or their representatives the information necessary to demonstrate its compliance with this Agreement and allow for and contribute to audits and inspections by allowing State Bank of India, its Client, a supervisory authority or their representatives to conduct an audit or inspection of that part of the Processor's business which is relevant to the Services [on at least an annual basis (or more

frequently when mandated by a relevant supervisory authority or to comply with the Data Protection Legislation) and] on reasonable notice, in relation to the Processing of Personal Data by the Processor.

### **3.9 Data Transfer:**

The Processor may not transfer or authorize the transfer of Data to countries outside the EU/ India and/or the European Economic Area (EEA) without the prior written consent of SBI. If personal data processed under this Agreement is transferred from a country within the European Economic Area to a country outside the European Economic Area, the Parties shall ensure that the personal data are adequately protected. To achieve this, the Parties shall, unless agreed otherwise, rely on EU approved standard contractual clauses / EU-US Privacy Shield for the transfer of personal data.

### **3.10 Records:**

The Processor shall maintain written records of its data processing activities pursuant to providing the Services to State Bank of India in accordance with Data Protection Legislation.

### **3.11 Notify:**

The Processor shall immediately and fully notify State Bank of India in writing of any communications the Processor (or any of its Sub processors) receives from third parties in connection with the processing of the Personal Data, including (without limitation) subject access requests or other requests, notices or other communications from individuals, or their representatives, or from the European Data Protection Board, the UK's Information Commissioner's Office (in the case of the United Kingdom) and/or any other supervisory authority or data protection authority or any other regulator (including a financial regulator) or court.

### **3.12 Agreement Termination:**

Upon expiry or termination of this Agreement or the Services for any reason or State Bank of India's earlier request, the Processor shall: (i) return to State Bank of India; and (ii) delete from all computer systems and other data storage systems, all Personal Data, provided that the Processor shall not be required to return or delete all or part of the Personal Data that it is legally permitted to retain. The Processor shall confirm to State Bank of India that it has complied with its obligation to delete Personal Data under this clause.

## **4. STATE BANK OF INDIA'S OBLIGATIONS:**

State Bank of India shall:

4.1 in its use of the Services, process the Personal Data in accordance with the requirements of the Data Protection Legislation.

4.2 use its reasonable endeavours to promptly notify the Processor if it becomes aware of any breaches or of other irregularities with the requirements of the Data Protection Legislation in respect of the Personal Data processed by the Processor.

## **5. General Terms:**

**5.1 Confidentiality:**

Each Party must keep this Agreement and information it receives about the other Party and its business in connection with this Agreement (“Confidential Information”) confidential and must not use or disclose that Confidential Information without the prior written consent of the other Party except to the extent that:

- (a) disclosure is required by law.
- (b) the relevant information is already in the public domain.

**5.2 Notices:**

All notices and communications given under this Agreement must be in writing and will be delivered personally, sent by post or sent by email to the address or email address set out in the heading of this Agreement at such other address as notified from time to time by the Parties changing address.

**5.3 Governing Law and Jurisdiction:**

5.3.1 This Agreement is governed by the laws of INDIA.

5.3.2 Any dispute arising in connection with this Agreement, which the Parties will not be able to resolve amicably, will be submitted to the exclusive jurisdiction of the courts of MUMBAI.

IN WITNESS WHEREOF, this Agreement is entered into and becomes a binding part of the Principal Agreement with effect from the date first set out below.

For State Bank of India

Signature \_\_\_\_\_  
Name \_\_\_\_\_  
Title \_\_\_\_\_  
Date Signed \_\_\_\_\_

For Processor M/s

Signature \_\_\_\_\_  
Name \_\_\_\_\_  
Title \_\_\_\_\_  
Date Signed \_\_\_\_\_

### SCHEDULE 1

#### 1.1 Services

<<Insert a description of the Services provided by the Data Processor (under the Principal Service Agreement, where relevant)>>.

### SCHEDULE 2

#### Personal Data

| Category of Personal Data | Category of Data Subject | Nature of Processing Carried Out | Purpose(s) of Processing | Duration of Processing |
|---------------------------|--------------------------|----------------------------------|--------------------------|------------------------|
|                           |                          |                                  |                          |                        |
|                           |                          |                                  |                          |                        |
|                           |                          |                                  |                          |                        |
|                           |                          |                                  |                          |                        |
|                           |                          |                                  |                          |                        |

### SCHEDULE 3

#### Technical and Organisational Data Protection Measures

1. The Processor shall ensure that, in respect of all Personal Data it receives from or processes on behalf of SBI, it maintains security measures to a standard appropriate to:

1.1. the nature of the Personal Data; and

1.2. Safeguard from the harm that might result from unlawful or unauthorised processing or accidental loss, damage, or destruction of the Personal Data.

2. In particular, the Processor shall:

2.1. have in place, and comply with, a security policy which:

2.1.1. defines security needs based on a risk assessment.

2.1.2. allocates responsibility for implementing the policy to a specific individual (such as the Processor's Data Protection Officer) or personnel and is provided to SBI on or before the commencement of this Agreement.

2.1.3. ensure that appropriate security safeguards and virus protection are in place to protect the hardware and software which is used in processing the Personal Data in accordance with best industry practice.

2.1.4. prevent unauthorised access to the Personal Data.

2.1.5. protect the Personal Data using pseudonymisation and encryption.

2.1.6. ensure the confidentiality, integrity and availability of the systems and services in regard to the processing of Personal Data.

2.1.7. ensure the fast availability of and access to Personal Data in the event of a physical or technical incident.

2.1.8. have in place a procedure for periodically reviewing and evaluating the effectiveness of the technical and organisational measures taken to ensure the safety of the processing of Personal Data.

2.1.9. ensure that its storage of Personal Data conforms with best industry practice such that the media on which Personal Data is recorded (including paper records and records stored electronically) are stored in secure locations and access by personnel to Personal Data is strictly monitored and controlled.

2.1.10. have secure methods in place for the transfer of Personal Data whether in physical form (for example, by using couriers rather than post) or electronic form (for example, by using encryption).

2.1.11. password protect all computers and other devices on which Personal Data is stored, ensuring that all passwords are secure, and that passwords are not shared under any circumstances.

2.1.12. not allow the storage of the Personal Data on any mobile devices such as laptops or tablets unless such devices are kept on its premises at all times.

2.1.13. take reasonable steps to ensure the reliability of personnel who have access to the Personal Data.

2.1.14. have in place methods for detecting and dealing with breaches of security (including loss, damage, or destruction of Personal Data) including:

2.1.14.1. having a proper procedure in place for investigating and remedying breaches of the GDPR; and

2.1.14.2. notifying SBI as soon as any such security breach occurs.

2.1.15. have a secure procedure for backing up all Personal Data and storing back-ups separately from originals; and

2.1.16. adopt such organisational, operational, and technological processes and procedures as are required to comply with the requirements of ISO/IEC 27001:2013 and SBI's Information Security Policy as appropriate.

At the time of signing this Agreement, the Processor has the following technical and organizational measures in place: (To be vetted by SBI)

| S. No | Controls to be implemented                                                                           | Compliance (Yes / No)                                                    | If under implementation, give date by which implementation will be done |
|-------|------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------|-------------------------------------------------------------------------|
| 1     | Whether the Processor has Information security policy in place with periodic reviews?                |                                                                          |                                                                         |
| 2     | Whether the Processor have operational processes with periodic review, including but not limited to: | a. Business Continuity Management                                        |                                                                         |
|       |                                                                                                      | b. Backup management                                                     |                                                                         |
|       |                                                                                                      | c. Desktop/system/server/network device hardening with baseline controls |                                                                         |
|       |                                                                                                      | d. Patch Management                                                      |                                                                         |
|       |                                                                                                      | e. Port Management Media Movement                                        |                                                                         |
|       |                                                                                                      | f. Log Management                                                        |                                                                         |
|       |                                                                                                      | g. Personnel Security                                                    |                                                                         |
|       |                                                                                                      | h. Physical Security                                                     |                                                                         |
|       |                                                                                                      | i. Internal security assessment processes                                |                                                                         |
| 3     | Whether a proper documented Change Management process has been instituted by the Processor?          |                                                                          |                                                                         |
| 4     | Whether the Processor has a documented policy and process of Incident management /response?          |                                                                          |                                                                         |
| 5     | Whether the Processor's environment is suitably protected from external threats by way of:           | a. Firewall                                                              |                                                                         |
|       |                                                                                                      | b. WAF                                                                   |                                                                         |
|       |                                                                                                      | c. IDS/IPS                                                               |                                                                         |
|       |                                                                                                      | d. AD                                                                    |                                                                         |
|       |                                                                                                      | e. AV                                                                    |                                                                         |
|       |                                                                                                      | f. NAC                                                                   |                                                                         |
|       |                                                                                                      | g. DLP                                                                   |                                                                         |
|       |                                                                                                      | h. Any other technology                                                  |                                                                         |
| 6     | Whether rules are implemented on Firewalls of the Processor environment as per an approved process?  |                                                                          |                                                                         |

| S. No | Controls to be implemented                                                                                                                                                                             | Compliance (Yes / No)        | If under implementation, give date by which implementation will be done |
|-------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------|-------------------------------------------------------------------------|
| 7     | Whether firewall rule position is regularly monitored for presence of any vulnerable open port or any-any rule?                                                                                        |                              |                                                                         |
| 8     | Whether proper log generation, storage, management and analysis happens for the Processor application?                                                                                                 |                              |                                                                         |
| 9     | Is the Processor maintaining all logs for forensic readiness related to:                                                                                                                               | a. Web                       |                                                                         |
|       |                                                                                                                                                                                                        | b. Application               |                                                                         |
|       |                                                                                                                                                                                                        | c. DB                        |                                                                         |
|       |                                                                                                                                                                                                        | d. Configuration             |                                                                         |
|       |                                                                                                                                                                                                        | e. User access               |                                                                         |
| 10    | Whether the Processor maintains logs for privileged access to their critical systems?                                                                                                                  |                              |                                                                         |
| 11    | Whether privilege access to the Processor environment is permitted from internet?                                                                                                                      |                              |                                                                         |
| 12    | Whether the Processor has captive SOC or Managed Service SOC for monitoring their systems and operations?                                                                                              |                              |                                                                         |
| 13    | Whether the Processor environment is segregated into militarized zone (MZ) and demilitarized zone (DMZ) separated by Firewall, where any access from an external entity is permitted through DMZ only? |                              |                                                                         |
| 14    | Whether Processor has deployed secure environments for their applications for:                                                                                                                         | d. Production                |                                                                         |
|       |                                                                                                                                                                                                        | e. Disaster recovery         |                                                                         |
|       |                                                                                                                                                                                                        | f. Testing environments      |                                                                         |
| 15    | Whether the Processor follows the best practices of creation of separate network zones (VLAN Segments) for:                                                                                            | g. Web                       |                                                                         |
|       |                                                                                                                                                                                                        | h. App                       |                                                                         |
|       |                                                                                                                                                                                                        | i. DB                        |                                                                         |
|       |                                                                                                                                                                                                        | j. Critical applications     |                                                                         |
|       |                                                                                                                                                                                                        | k. Non-Critical applications |                                                                         |
|       |                                                                                                                                                                                                        | l. UAT                       |                                                                         |
| 16    | Whether the Processor configures access to officials based on a documented and approved Role Conflict Matrix?                                                                                          |                              |                                                                         |
| 17    |                                                                                                                                                                                                        | d. Internal servers          |                                                                         |
|       |                                                                                                                                                                                                        | e. Database servers          |                                                                         |

| S. No | Controls to be implemented                                                                                                                                                       | Compliance (Yes / No) | If under implementation, give date by which implementation will be done |
|-------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------|-------------------------------------------------------------------------|
|       | Whether Internet access is permitted on:<br>f. Any other servers                                                                                                                 |                       |                                                                         |
| 18    | Whether the Processor has deployed a dedicated information security team independent of IT, reporting directly to MD/CIO for conducting security related functions & operations? |                       |                                                                         |
| 19    | Whether CERT-IN Empaneled ISSPs are engaged by the third party for ensuring security posture of their application?                                                               |                       |                                                                         |
| 20    | Whether quarterly vulnerability assessment and penetration testing is being done by the Processor for their infrastructure?                                                      |                       |                                                                         |
| 21    | Whether suitable Security Certifications (ISO, PCI-DSS etc.) of the security posture at vendor environment are in place?                                                         |                       |                                                                         |
| 22    | Whether the Processor has deployed any open source or free software in their environment?<br>If yes, whether security review has been done for such software?                    |                       |                                                                         |
| 23    | Whether the data shared with the Processor is owned by SBI (SBI = Information Owner)?                                                                                            |                       |                                                                         |
| 24    | Whether the data shared with the Processor is of sensitive nature?                                                                                                               |                       |                                                                         |
| 25    | Whether the requirement and the data fields to be stored by the Processor is approved by Information Owner?                                                                      |                       |                                                                         |
| 26    | Where shared, whether the bare minimum data only is being shared? (Please document the NEED for sharing every data field)                                                        |                       |                                                                         |
| 27    | Whether the data to be shared with Processor will be encrypted as per industry best standards with robust key management?                                                        |                       |                                                                         |
| 28    | Whether the Processor is required to store the data owned by State Bank?                                                                                                         |                       |                                                                         |
| 29    | Whether any data which is permitted to be stored by the Processor will be completely erased after processing by the Processor at their end?                                      |                       |                                                                         |
| 30    | Whether the data shared with the Processor is stored with encryption (Data at rest encryption)?                                                                                  |                       |                                                                         |
| 31    | Whether the data storage technology (Servers /Public Cloud/ Tapes etc.) has been appropriately reviewed by IT AO?                                                                |                       |                                                                         |

| S. No                                                                                                                                                                                                          | Controls to be implemented                                                                                                                                                                       | Compliance (Yes / No)                       | If under implementation, give date by which implementation will be done |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------|-------------------------------------------------------------------------|
| 32                                                                                                                                                                                                             | Whether the Processor is required to share SBI specific data to any other party for any purpose?                                                                                                 |                                             |                                                                         |
| 33                                                                                                                                                                                                             | Whether a system of obtaining approval by the Processor from the IT Application Owner is put in place before carrying out any changes?                                                           |                                             |                                                                         |
| 34                                                                                                                                                                                                             | Whether Processor is permitted to take any crucial decisions on behalf of SBI without written approval from IT Application Owner?                                                                |                                             |                                                                         |
|                                                                                                                                                                                                                | If not, are such instances being monitored? IT Application Owner to describe the system of monitoring such instances.                                                                            |                                             |                                                                         |
| 35                                                                                                                                                                                                             | Whether Application Owner has verified that the Processor has implemented efficient and sufficient preventive controls to protect SBI's interests against any damage under section 43 of IT Act? |                                             |                                                                         |
| 36                                                                                                                                                                                                             | Whether the selection criteria for awarding the work to Processor vendor is based on the quality of service?                                                                                     |                                             |                                                                         |
| 37                                                                                                                                                                                                             | Whether the SLA/agreement between SBI and the Processor contains these clauses:                                                                                                                  | g. Right to Audit to SBI with scope defined |                                                                         |
| h. Adherence by the vendor to SBI Information Security requirements including regular reviews, change management, port management, patch management, backup management, access management, log management etc. |                                                                                                                                                                                                  |                                             |                                                                         |
| i. Right to recall data by SBI.                                                                                                                                                                                |                                                                                                                                                                                                  |                                             |                                                                         |
| j. Regulatory and Statutory compliance at vendor site. Special emphasis on section 43A of IT Act 2000 apart from others.                                                                                       |                                                                                                                                                                                                  |                                             |                                                                         |
| k. Availability of Compensation clause in case of any data breach or incident resulting into                                                                                                                   |                                                                                                                                                                                                  |                                             |                                                                         |

| S. No | Controls to be implemented                                                                                                                                                                                                           | Compliance (Yes / No) | If under implementation, give date by which implementation will be done |
|-------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------|-------------------------------------------------------------------------|
|       | <p>any type of loss to SBI, due to vendor negligence.</p> <p>1. No Sharing of data with any third party without explicit written permission from competent Information Owner of the Bank including the Law Enforcement Agencies.</p> |                       |                                                                         |

## Glossary

| Abbreviation | Description                                  |
|--------------|----------------------------------------------|
| AO           | Application Owner                            |
| API          | Application Programming Interface            |
| BRD          | Business Requirement Document                |
| CERT-IN      | Computer Emergency Response Team-India       |
| CSV          | Comma Separated Value                        |
| CUG          | Closed User Group                            |
| DR           | Disaster Recovery                            |
| E&TA         | Enterprise & Technology Architecture         |
| EIS          | Enterprise Integration Service               |
| HNI          | High Net worth Individual                    |
| INB          | Internet Banking                             |
| ISD          | Information Security Department              |
| ITSM         | IT Service Management                        |
| MIS          | Management Information System                |
| OEM          | Original Equipment Manufacturer              |
| OWASP        | Open Worldwide Application Security Project  |
| PCI DSS      | Payment Card Industry Data Security Standard |
| PDF          | Portable Document Format                     |
| PII          | Personally identifiable information          |
| QMS          | Queue Management Solution                    |
| SCD          | Secure Configuration Document                |
| SI           | System Integrator                            |
| SIT          | System Integration Testing                   |
| SPDI         | Sensitive Personal Data or Information       |
| TCO          | Total Cost of Ownership                      |
| UAT          | User Acceptance Testing                      |

|      |                                                  |
|------|--------------------------------------------------|
| UI   | User interface                                   |
| URF  | User Request Form                                |
| UX   | User experience                                  |
| VAPT | Vulnerability Assessment and Penetration Testing |
| YONO | You only Need One                                |
|      |                                                  |