## भारतीय लघु उद्योग विकास बैंक

## Small Industries Development Bank of India

## डाटा सेंटर व डीआर साइट में इंफ्रास्ट्रक्चर सेवाओं के प्रबंधन हेतु प्रस्ताव का आमंत्रण

# REQUEST FOR PROPOSAL

## DATA CENTRE & DR SITE INFRASTRUCTURE MANAGED SERVICES
### (1St January 2016 till 31St December 2020)

**[निविदा सं.  400/2016/1121/BYO/ITV दिनांक अक्टूबर 28, 2015]**
**[RfP No. 400/2016/1121/BYO/ITV dated October  28, 2015]**

**Notice of Confidentiality:**

*This document, its appendices, and all annexes, are the property of Small Industries Development Bank of India (SIDBI). Use of contents of document, its appendices, and all annexes is, provided to you for the sole purpose of responding to this Request for Proposal. It may not be otherwise copied, distributed or recorded on any medium, electronic or otherwise without SIDBI's express written permission.*

## Important Clarifications

Some terms have been used in the document interchangeably for the meaning as mentioned below:

- 'Bank' means 'Small Industries Development Bank of India'.
- 'Bidder' means the respondent to the RFP document.
- 'Successful Bidder' refers to the bidder who gets selected by the bank after completion of evaluation process.
- 'Service Provider' refers to the successful bidder who provides the services to the bank after the contract is awarded by the bank, also abbreviated as 'SP'.
- 'RFP' or 'Tender' means the Request For Proposal document
- 'DC' means Data centre, 'DR' means disaster recovery site
- 'CBS' means Core Banking Solution unless specified otherwise
- 'Bid' may be interchangeably referred to as 'Offer'.

## Glossary

| Acronym | Description |
|---------|-------------|
| AMC | Annual Maintenance Contract |
| ATS | Annual Technical Support |
| BG | Bank Guarantee |
| CMDB | Configuration Management Data Base |
| DBA | Data Base  Administrator |
| DR | Disaster Recovery |
| EMD | Earnest Money Deposit |
| EMS | Event Monitoring Service |
| FM | Facility Management |
| FMS | Facility Management  Services |
| IIMC | IT Infrastructure Management Centre |
| ITIL | IT Information Library |
| MAF | Manufacturer Authorisation Form |
| OEM | Original Equipment Manufacturer |
| PBG | Performance Bank Guarantee |
| TCO | Total Cost of Ownership |
| IMO | Infrastructure Management Outsourcing |

# Table of Contents

## ➢ Appendix Details

| Appendix | Description |
|---|---|
| Appendix-I | List of SIDBI offices |
| Appendix-II | List of hardware (Other than N/W) at Data Centre, Mumbai |
| Appendix-III | List of hardware at Disaster Recovery Site, Chennai |
| Appendix-IV | List of Servers at Other Offices |
| Appendix-V | Office-wise list of Network Equipments and Security Devices |
| Appendix-VI | List of EMS Tools |

*\* All the appendices are given inSIDBI.Outsourcing.RfP.Appendix.zip*

## ➢ Annexure Details

| Annexure(s) |
|---|
| 1.　Annexure I – Eligibility Bid - Covering Letter |
| 2.　Annexure II – General Information about Bidder |
| 3.　Annexure III – Response to the Minimum Eligibility Criteria |
| 4.　Annexure IV – Declaration regarding Clean Track Record |
| 5.　Annexure V – Conformity of Hardcopies |
| 6.　Annexure VI – Statement of Deviations |
| 7.　Annexure VII – Letter of Competence |
| 8.　Annexure VIII – Power of Attorney |
| 9.　Annexure IX – Letter of Conformity |
| 10.　Annexure X – Resource Deployment Plan |
| 11.　Annexure XI – Commercial Bid – Covering Letter |
| 12.　Annexure XII – Non-Disclosure Agreement |
| 13.　Annexure XIII – Bank Mandate Form |
| 14.　Annexure XIV – EMD / Bid Security Form |
| 15.　Annexure XV – Performance Bank Guarantee |
| 16.　Annexure XVI – Pre-Contract Integrity Pact |
| 17.　Annexure XVII – Commercial Bid Format |

*\* All the annexure are given in SIDBI_DC_DR_INFRA_Annexure.zip*

# Critical Information/ महत्वपूर्ण सूचना

**(RfP No. 400/2016/1121/BYO/ITV dated October 28, 2015)**

| SNo. क्र.सं. | Events / कार्यक्रम | Date/ तिथि | Time/ समय |
|---|---|---|---|
| 1 | Last date for seeking clarifications for pre-bid meeting/ पूर्व-बोली बैठक के लिए स्पष्टीकरण की मांग की अंतिम तिथि | November 4, 2015 / नवम्बर 4, 2015 | 2:00pm |
| 2 | Pre Bid meeting (*no clarifications would be given after pre-bid meeting*)/ पूर्व-बोली बैठक के बाद कोई भी स्पष्टीकरण नहीं दिया जाएगा। | November 5, 2015 / नवम्बर 5, 2015 | 11:00am |
| 3 | Last date for submission of bids/ बोली जमा करने की अंतिम तिथि | November 27, 2015 / नवम्बर 27, 2015 | 3:30pm |
| 4 | Address for Bid Submission/ बोली जमा करने का पता | महाप्रबन्धक (सिस्टम्स) / **General Manager (Systems)** Small Industries Development Bank of India 3rd Floor, Information Technology Vertical MSME Development Centre Plot No. C-11, G Block, Bandra Kurla Complex Bandra (E), **Mumbai- 400 051** Phone: 022-67531100 / 67531229 Fax: 022-67531236 | |
| 5 | Date & Time of Opening of Minimum Eligibility bid &Technical bid/ न्यूनतम व तकनीकी बोली खोलने की तिथि व समय | November 27, 2015 / नवम्बर 27, 2015 | 4:00pm |
| 6 | Date and time of opening of commercial bids / वाणिज्यिक बोली खोलने की तिथि व समय | To be intimated at a later date बाद में सूचित किया जायेगा | |
| 7 | Bid Validity/ बोली के वैद्यता | **Six Month** from the last date of bid submission. बोली जमा करने की अंतिम तिथि से छह महीने तक। | |
| 8 | Presentations to be made by bidders/ बोलीदाताओं द्वारा की जाने वाली प्रस्तुतियाँ | The bidders are required to arrange for Presentation. Date would be intimated after bid submission. बोलीदाताओं को प्रस्तुतियों का प्रबंध करना होगा। | |
| 9 | Contact details of SIDBI officials सिडबी अधिकारियों के संपर्क विवरण | Sudhir Tandon, DGM(Systems) 022-67531245, standon@sidbi.in Rajesh Joshi, AGM (Systems) 022-67531251, rjoshi@sidbi.in | |

# 1. Introduction and Disclaimers

## 1.1 Preface

This Request for Proposal document ('RFP document' or RFP) has been prepared solely for the purpose of enabling SIDBI to select a Service Provider for "Outsourcing of Infrastructure Managed Services" for Data Center & Disaster Recovery site (DC & DR) and Application Support Management Services. The RFP document is not a recommendation, offer or invitation to enter into a contract, agreement or any other arrangement, in respect of the services. The provision of the services is subject to observance of selection process and appropriate documentation being agreed between SIDBI and any successful Bidder as identified by SIDBI, after completion of the selection process as detailed in this document.

## 1.2 Information Provided

The RfP document contains statements derived from information that is believed to be relevant at the date but does not purport to provide all of the information that may be necessary or desirable to enable an intending contracting party to determine whether or not to enter into a contract or arrangement with SIDBI. Neither SIDBI nor any of its employees, agents, contractors, or advisers gives any representation or warranty, express or implied, as to the accuracy or completeness of any information or statement given or made in this document. Neither SIDBI nor any of its employees, agents, contractors, or advisers has carried out or will carry out an independent audit or verification exercise in relation to the contents of any part of the document.

## 1.3 For Respondent only

The RFP document is intended solely for the information of the party to whom it is issued ("the Recipient" or "the Respondent" or "the Bidder") i.e. Government Organization/Public Sector Undertaking (PSU) / Limited Company registered in India and no other person or organization.

## 1.4 Disclaimer

Subject to any law to the contrary, and to the maximum extent permitted by law, Bank and its directors, officers, employees, contractors, representatives, agents, and advisers disclaim

all liability from any loss, claim, expense (including, without limitation, any legal fees, costs, charges, demands, actions, liabilities, expenses or disbursements incurred therein or incidental thereto) or damage, (whether foreseeable or not) ("Losses") suffered by any person acting on or refraining from acting because of any presumptions or information (whether oral or written and whether express or implied), including forecasts, statements, estimates, or projections contained in this RFP document or conduct ancillary to it whether or not the Losses arise in connection with any ignorance, negligence, inattention, casualness, disregard, omission, default, lack of care, immature information, falsification or misrepresentation on the part of Bank or any of its directors, officers, employees, contractors, representatives, agents, or advisers.

## 1.5      Costs to be borne by Respondents

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

## 1.6      No Legal Relationship

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

## 1.7      Recipient Obligation to Inform Itself

The Recipient must apply its own care and conduct its own investigation and analysis regarding any information contained in the RfP document and the meaning and impact of that information.

## 1.8      Evaluation of Offers

The issuance of RFP document is merely an invitation to offer and must not be construed as any agreement or contract or arrangement nor would it be construed as any investigation or review carried out by a Recipient. The Recipient unconditionally acknowledges by submitting its response to this RFP document that it has not relied on any idea, information, statement, representation, or warranty given in this RFP document.

## 1.9 Acceptance of Selection Process

Each Recipient / Respondent having responded to this RfP acknowledges to have read, understood and accepts the selection & evaluation process mentioned in this RfP document. The Recipient / Respondent ceases to have any option to object against any of these processes at any stage subsequent to submission of its responses to this RfP.

## 1.10 Errors and Omissions

Each Recipient should notify SIDBI of any error, fault, omission, or discrepancy found in this RFP document but not later than twelve days prior to the due date for lodgment of Response to RFP.

## 1.11 Acceptance of Terms

Recipient will, by responding to SIDBI for RfP, be deemed to have accepted the terms of this Introduction and Disclaimer.

## 1.12 Requests for Proposal

Recipients are required to direct all communications related to this RfP, through the Nominated Point of Contact person:

| | | |
|---|---|---|
| **Contact** | : | **Sudhir Tandon** |
| Position | : | Deputy General Manager (Systems) |
| Email | : | standon@sidbi.in |
| Telephone | : | +91 - 22 - 67531245 |
| Fax | : | +91 - 22 - 67531236 |

SIDBI may, in its absolute discretion, seek additional information or material from any Respondents after the RfP closes and all such information and material provided must be taken to form part of that Respondent's response.

Respondents should provide details of their contact person, telephone, fax, email and full address(s) to ensure that replies to RfP could be conveyed promptly.

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

SIDBI may, in its absolute discretion, engage in discussion with any Respondent (or simultaneously with more than one Respondent) after the RfP closes to improve or clarify any response.

## 1.13    Notification

SIDBI will notify all short-listed Respondents in writing or by mail as soon as practicable about the outcome of their RfP. SIDBI is not obliged to provide any reasons for any such acceptance or rejection.

❋  ❋  ❋  ❋  ❋  ❋

# 2.    RfPResponse

## 2.1    Bid Price

1.  Non-refundable Bid Price of ₹25,000/- (₹ Twenty Five thousand only) by way of Banker's Cheque/ Demand Draft/ Pay Order drawn on a scheduled bank, favouring "Small Industries Development Bank of India", must be submitted along with RFP response.

2.  SIDBI is governed by provisions of the Public Procurement Policy for Micro and Small Enterprises (MSEs) as circulated by The Ministry of MSME, GoI. 2.5.1. These provisions shall be applicable to Micro and Small Enterprises (MSEs) registered with District Industries Centers or Khadi and Village Industries Commission or Khadi and Village Industries Board or Coir Board or National Small Industries Corporation or Directorate of Handicrafts and Handloom or any other body specified by Ministry of Micro, Small and Medium Enterprises(MSMEs).

3.  Such MSMEs would be entitled for exemption from furnishing tender fee and earnest money deposit (EMD). In case of any issue on the subject matter, the MSE's may approach the tender inviting authority to resolve their grievances. Agencies/ Bidders desirous of availing exemptions/ preference under above provisions should submit a copy of proof of Registration as MSEs/ and ownership of the same by SC/ST along with the tender/RFP.

4.  Bidder is required to inform its MSME status as per following definition, if applicable.

| Enterprise Category | Manufacturing (Original Investmentin P&M) | Services (Original Investmentin Equipment) |
|---|---|---|
| Micro | Up to ₹ 25 lakh | Up to ₹ 10 lakh |
| Small | Up to ₹ 500 lakh | Up to ₹ 200 lakh |
| Medium | Up to ₹ 1000 lakh | Up to ₹ 500 lakh |

5.  The Bank may, at its discretion, reject any Bidder where the application money has not been furnished with the RFP response.

## 2.2    Earnest Money Deposit (EMD)

All the responses must be accompanied by a refundable interest free security deposit. Details of the EMD are given in section 6.8.

## 2.3 RFP closing date

RFP Response should be received by SIDBI not later than the time mentioned in 'Critical Information' section above, at the defined address of SIDBI Office premises.

## 2.4 RfP Validity Period

The Bids must remain valid and open for evaluation according to their terms for a period of **six (6) months** from the date of the submission of bids.

## 2.5 Late RFP Policy

Responses received after the due date / time would be considered late and may not be accepted or opened. Late received bids shall be returned un-opened **within 02 weeks from the bid submission date.**

## 2.6 Receiving of RFP Response

Receiving of RFP response will be recorded by SIDBI in a 'Tender Receiving Register' kept for the purpose upon receiving the RFP response. The submission of the response should be in the format outlined in this RFP and should be submitted preferably through hand delivery. If the submission to this RFP does not include all the documents and information required or is incomplete or submission is through Fax mode, the RFP is liable to be summarily rejected. All submissions, including any accompanying documents, will become the property of Bank. The Recipient shall be deemed to have licensed, and granted all rights to the Bank to reproduce the whole or any portion of their submission for the purpose of evaluation and to disclose and/or use the contents of the submission as the basis for any resulting RFP process, notwithstanding any copyright or other intellectual property right of the Recipient that may subsist in the submission or accompanying documents.

## 2.7 Requests for information

1. Recipients are required to direct all communications for any clarification related to this RFP, to the designated Bank officials and must communicate the same in writing by the time mentioned in 'Critical Information' section above. No query / clarification would be entertained over phone.

2. All queries relating to the RFP, technical or otherwise, must be in writing only and may be sent via email. The Bank will try to reply, without any obligation in respect thereof, every reasonable query raised by the Recipients in the manner specified. However, the Bank will not answer any communication reaching the bank later than the time stipulated for the purpose.

3. The Bank may in its absolute discretion seek, but under no obligation to seek, additional information or material from any Respondents after the RFP closes and all such information and material provided must be taken to form part of that Respondent's response. Respondents should invariably provide details of their email address as responses to queries will be provided to all Respondents via email.

4. The Bank may in its sole and absolute discretion engage in discussion with any Respondent (or simultaneously with more than one Respondent) after the RFP closes to clarify any response.

## 2.8 Pre-Bid Meeting

1. The Bank shall hold a pre-bid meeting on the date and time mentioned in 'Critical Information' section above. Purpose of the meeting is to bring utmost clarity on the scope of work and terms of the RFP being floated. The Bidders are expected to use the platform to have all their queries answered. No query will be entertained after the pre-bid meeting.

2. It would be the responsibility of the Bidders to be present at the venue of the meeting.

3. Clarification sought by bidder should be made in writing (Letter/E-mail etc) and submitted on or before the date as indicated in the 'Critical Information Section. Bank has discretion to consider any other queries raised by the bidder's representative during the pre-bid meeting.

4. The text of the clarifications asked (without identifying the source of enquiry) and the response given by the Bank, together with amendment to the bidding document, if any, will be posted on the Bank (www.sidbi.in) website and Central Public Procurement Portal (CPPP) within 03working days of the pre-bid meeting. It would be responsibility of the bidder to check the websites before final submission of bids.

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

## 2.9 Disqualification

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

## 2.10 Selection process

Successful Bidder will be selected through three bids evaluation process:

[A].Eligibility evaluation [B]. Technical evaluation [C]. Commercial evaluation.

## 2.11 Details of Bids to be Submitted

1. Bidders are required to submit their responses in THREE envelopes, with contents of each as under:

| Envelope # | BidContents | No. of Copies | Label of Envelope |
|---|---|---|---|
| I | **Minimum Eligibility Bid** <br><br> i. Minimum Eligibility Bid – Bid Covering letter as per format prescribed in **Annexure-I** <br><br> ii. General Information about the bidder as per format prescribed in **Annexure-II** <br><br> iii. Response to Minimum Eligibility Criteria as per format prescribed in **Annexure-III** <br><br> iv. DDs/Instruments towards bid price <br><br> v. DDs/Instruments towards Earnest Money Deposit **(EMD)** <br><br> **OR** <br><br> Bank guarantee towards EMD as per format prescribed in **Annexure-XIV**. <br><br> vi. Declaration regarding clean track record, as per format prescribed in **Annexure-IV** <br><br> vii. Bank Mandate Form as per format prescribed in **Annexure-XIII**. | Hardcopy – 1 <br> A CD containing Editable Softcopy - 1 | **"Minimum Eligibility"** <br><br> **Data Centre & DR Site Infrastructure Managed Services RfP No. 400/2016/1121/BYO/ITV dated October 28, 2015** |
| II | **Technical Bid** <br><br> i. Details and corresponding documents as required for all the Technical Parameters stipulated under section 8.2.2 <br><br> ii. Resource deployment plan as per format | Hardcopy – 2 | **"Technical Bid"** <br><br> **Data Centre & DR Site Infrastructure Managed Services** |

| | | | |
|---|---|---|---|
| | prescribed in **Annexure-X**<br><br>iii. Statement of deviations as per format prescribed in **Annexure-VI**<br><br>iv. Letter of competence as per format prescribed in **Annexure-VII**<br><br>v. Power of Attorney as per format prescribed in **Annexure-VIII**<br><br>vi. Letter of Conformity as per format prescribed in **Annexure-IX**<br><br>vii. Masked Commercial bid as per format prescribed in **Annexure-XI**<br><br>viii. Pre-Contract Integrity Pact as per format **Annexure XVI** | A CD containing Editable Softcopy - 1 | **RfP No. 400/2016/1121/BYO/ITV dated October 28, 2015** |
| **III** | **Commercial Bid**<br><br>i. Commercial Bid Covering letter as per format prescribed in **Annexure-XI**<br><br>ii. Response to Commercial Bid as per format prescribed in **Annexure-XVII** | Hardcopy – 1<br><br>A CD containing Editable Softcopy – 1 | **"Commercial Bid"**<br><br>**Data Centre & DR Site Infrastructure Managed Services RfP No. 400/2016/1121/BYO/ITV dated October 28, 2015** |

2. Above mentioned three separately sealed sub-envelopes should be put together in another master sealed envelope super-scribing **"Data Centre & DR Site Infrastructure Managed Services, RfP No. 400/2016/1121/BYO/ITV dated October 28, 2015".**

3. All the individual envelopes must be super-scribed with the following information as well:

    i. Name of the bidder, Contact Number and mail id.

    ii. Bids should be enclosed with all relevant documentary proofs / certificates duly sealed and signed.

    iii. Envelope I, II & III should also contain softcopy in the form of DVD of respective response documents.

## 2.12     Pre Contract Integrity Pact (IP)

IP is an agreement between the prospective vendors / bidders and the buyer committing the persons / officials of both the parties not to exercise any corrupt influence on any aspect of the contract.

The bidder has to submit signed Pre Contract Integrity Pact (IP) as per the format at **Annexure-XVI** on the letter head of the Company. However, the successful bidder has to submit the same in non-judicial stamp paper of requisite value (to be borne by the bidder) applicable at the place of its first execution after the issue of Purchase Order.

## 2.13    Important

Bidders must take the following points into consideration during preparation and submission of bids.

1.    Relevant documents must be submitted as proof wherever necessary. All the pages must be sealed and signed by the authorized signatory of the respondent.

2.    Faxed copies of any submission are not acceptable and will be rejected by the Bank.

3.    Responses should be concise and to the point. Submission of irrelevant documents must be avoided.

4.    If the bids do not contain all the information required or is incomplete, the proposal is liable to be rejected.

5.    The RfP is floated on SIDBI website http://www.sidbi.in, Central Public Procurement Portal (CPP) at eprocure.gov.in and Indian Trade Journal. SIDBI reserves the right to change the dates mentioned above. Changes and clarification, if any, related to RfP will be posted on SIDBI website and CPPP. Bidders must have close watch on SIDBI website and CPPP during the intervening period before submitting response to RfP.

6.    The bidder cannot quote for the project in part.

7.    Each bidder shall submit only one proposal.

❆    ❆    ❆    ❆    ❆    ❆

# 3.    Background

## 3.1    Introduction

SIDBI was established on April 2, 1990 under the Small Industries Development Bank of India Act, 1989 with an aim to be the principal financial institution for the promotion, financing and development of industry in the small scale sector and to co-ordinate the functions of the institutions engaged in the promotion and financing or developing industry in the small scale sector and for matters connected therewith or incidental thereto.

The business domain of SIDBI consists of Micro, Small and Medium Enterprises (MSMEs) and the service sector including transport, health care, tourism sectors etc. SIDBI figures among the top 30 development banks of the world. As per the May 2001 issue of The Banker, London, SIDBI ranked 25th both in terms of Capital and Assets.

**The Vision and Mission of SIDBI are as follows**:

**Vision**: To emerge as a single window for meeting the financial and developmental needs of the MSME sector to make it strong, vibrant and globally competitive, to position SIDBI Brand as the preferred and customer - friendly institution and for enhancement of share - holder wealth and highest corporate values through modern technology platform.

**Mission**: To facilitate and strengthen credit flow to MSMEs and address both financial and developmental gaps in the MSME eco-system.

SIDBI has taken numerous steps for the promotion of MSME funding in the country. Some of those initiatives are credit advisories through credit advisory centers, loan facilitation, loan syndication services, and capacity building of smaller banks (RRBs / UCBs / DCCBs).

SIDBI is attempting to facilitate and enhance flow of credit to MSME sector via an ecosystem enabled by financial consultants.

SIDBI covers around 600 MSME clusters, through a pan-India network of 84 branches, 50 Credit Advisory Centres, and partnerships with cluster-level industry associations.

## 3.2    Subsidiary/Associate Organizations of SIDBI

➢ **MUDRA** : **Micro Units Development and Refinance Agency**(www. mudra.org.in)

MUDRA is a public sector financial institution for development and refinancing activities relating to micro units. It provides loans at low rates to microfinance institutions and non-banking financial institutions which then provide credit to MSME's. The purpose of MUDRA is to provide funding to the non-corporate small business sector. MUDRA is a wholly owned

subsidiary of SIDBI, incorporated by the Hon'ble Finance Minister while presenting the union budget for FY 2016.

> **CGTSME : CREDIT GUARANTEE FUND TRUST FOR MICRO AND SMALL ENTERPRISES** (www. cgtmse.in)

Credit to micro and small enterprises sector is generally perceived as high risk lending, more so, when there is absence of any collateral. In order to encourage banks to lend more to this sector, Government of India and SIDBI have set up the Credit Guarantee Fund Trust for Micro and Small Enterprises (CGTMSE) in July 2000, to provide credit guarantee support to collateral free / third-party guarantee free loans up to Rs. 100 lakh extended by banks and lending institutions for micro and small enterprise (MSEs) under its Credit Guarantee Scheme (CGS).

> **ISARC : INDIA SME ASSET RECONSTRUCTION COMPANY LTD** (www. isarc.in)

India SME Asset Reconstruction Company ltd (ISARC) is the country's first MSME focused Asset Reconstruction Company striving for speedier resolution of non-performing assets (NPA) by unlocking the idle NPAs for productive purposes which would facilitate greater and easier flow of credit from the banking sector to the MSMEs. Set up in April 2008, ISARC's objective is to acquire NPAs and strive to maximize recovery value through innovative resolution methods. It also complied with the conditions stipulated by RBI while granting the Certificate of Registration as an ARC and became fully operational from April 15, 2009.

> **SVCL**: **SIDBI Venture Capital Limited**(www. sidbiventure.co.in)

SIDBI Venture Capital Limited (SVCL) is a wholly owned subsidiary of SIDBI, incorporated in July 1999. Mission of SVCL is to catalyse entrepreneurship by providing capital and other strategic inputs for building businesses around growth opportunities and maximize returns on investment.

> **SME Rating Agency (SMERA)**

SMERA Ratings Limited (formerly SME Rating Agency of India Ltd.) is a joint initiative of Small Industries Development Bank of India (SIDBI), Dun & Bradstreet Information Services India Private Limited (D&B) and leading public and private sector banks in India. SMERA commenced its operations in 2005 as an exclusive credit rating agency for Micro, Small and Medium Enterprises (MSME) sector in the country. Within a span of 10 years, SMERA has assigned ratings to over 35691 MSMEs pan India.

> **NCGTC: National Credit Guarantee Trustee Company**

National Credit Guarantee Trustee Company (NCGTC) has been conceptualized with an objective to act as trustee and operate the various credit guarantee funds set up / being set

up / to be set up by Government of India. It has been envisaged to provide credit guarantee to banks for Education loans, Vocational skill development, Factoring / bills discounting loans etc. National Credit Guarantee Trustee Company Ltd. (NCGTC) was established in March 2014 by Ministry of Finance, Government of India.

**Please visit SIDBI website (www.sidbi.in) for complete list of subsidiary /associate organization of SIDBI.**

## 3.3    Business Products

SIDBI has uniquely designed products for the MSME sector. Some of the salient features are:

> ➢ Focused attention on industrial and service sector financing

> ➢ Attractive rates

> ➢ Relationship managers

> ➢ Presence across all major industrial setups

> ➢ Easier access to collateral free finance

> ➢ Risk / Growth capital for business

> ➢ Enable access to equity and venture funding

> ➢ Easy access to government schemes

> ➢ Provides receivable finance to allow earlier revenue recognition and more efficient cash management

SIDBI offers a varied set of products. The services sector gets Term loan and Investment products such as Sub-debt, Equity, convertible debentures, optionally convertible cumulative preference shares, zero coupon bonds, etc.

SIDBI facilitates Bank loans for new as well as existing manufacturing and service sector units.

SIDBI provides financial products to enable climate and environmental friendly investments to promote energy saving in Micro, Small and Medium Enterprises (MSMEs) in India, by providing financial assistance to MSMEs, directly by SIDBI as well as through refinance to Primary Lending Institutions (PLIs) and Non Banking Financial Companies (NBFCs).

The targeted clientele are entities that operate in the space of reducing the emission of greenhouse gases to contribute towards climate change mitigation and achieve a reduction or avoidance of emissions and pollution through the introduction of financial products. SIDBI supports MSMEs towards development, up-scaling, demonstration and commercialization of innovative technology based projects.

## 3.4 IT Infrastructure

### 3.4.1 Data Center (DC) & Disaster Recovery (DR) Site

SIDBI has its Datacenter at Mumbai and DR Site at Chennai. All the applications are hosted at Datacenter and the same are accessed over MPLS VPN. In the event of failure of Datacenter, DR Site is activated. Further, SIDBI is also providing co-hosting services to its subsidiaries at Datacenter.

### 3.4.2 Present IT Infrastructure

| Infrastructure Type | Details of Components |
|---|---|
| Hardware | Servers (Tower, Rack & Blades with majority on Intel and few on RISC architecture), Routers, Switches, Backup Tape library, Security devices, Video Conferencing End points, biometric attendance systems etc. |
| Operating Systems | IBM AIX 6.1, HP-UX 11.31 v3, Windows 2003/2008, Linux, Citrix XenServer Enterprise Edition for virtualization. |
| Backend database | Oracle 10g in RAC (Real Application Cluster), Oracle Data guard for DR replication of archive logs. |
| Application Servers | Citrix XenApp 5.0, IBM Websphere and MQ-Series, Oracle Application Server |
| Web Server | JBoss, Apache Tomcat, IIS, IBM HTTP |
| Development Tools | Oracle Developer Suite ver 6, Java/JSP, Lotus Domino, IBM Rational, .Net |
| Groupware | IBM Domino 9 |
| Enterprise Backup Solution | LAN based backup using Veritas Netbackup DataCenter 7.0 |
| Office Automation | MS Office 2003 and above, Unicode |
| Antivirus S/w | Symantec A/v Enterprise Edition Ver.12 |
| LAN | Data Center and DR site: L3 / L2 Switch based LAN at central sites. At Datacenter L3 switch is of Cisco and layer 2 is of HP/Cisco. At DR site, L3 is of Cisco and layer 2 are of Cisco/Dlink/HP. |
| WAN | Complete managed IP MPLS VPN from three service providers connecting all the locations. Primary link on wired or wireless with backup on CDMA/RF/3G (excluding Regional offices where dual service provider network is present). The entire WAN architecture is HUB and Spoke with HUB locations being DataCenter and DR Site. All routers installed are of Cisco 1900/2900/3900 series. |
| Security | NIPS (Cisco), Firewall-Perimeter (Fortigate 800 in failover – in process of replacement), Firewall –Core (Fortigate 2600 in failover). |
| Web Gateway Security | Cisco Ironport 370 Series web gateway security appliance with proxy and caching, web content filtering, antimalware and antivirus. |
| Video Conferencing | The core infrastructure consists of Polycom DMA, RSS, MCU, |

| Infrastructure Type | Details of Components |
|---|---|
| | Firewall Traversal, PRI gateway, Resource manager and Radvision Scopia Elite MCU.  Endpoints are mix of Polycom (HDX 8000/7000/Group 500). |
| EMS Tools | HP OpenView - Operations Manager, Network Node Manager (NNM), Client Configuration Manager (CCM), SM7, SPIs for Database, Lotus Notes and Citrix, Business Crystal Reports. |
| Access Gateway | Citrix Netscaler |
| Business Applications | Website, Intranet portal, Business Application with details as given in subsequent paragraph of this document. |

### 3.4.3    Details of Present IT Infrastructure

#### 3.4.3.1    Connectivity

➢ **Wide Area Network**

SIDBI has implemented complete managed IP MPLS VPN based WAN at all locations/offices. Complete managed services include supply of all network hardware (router, MUX, Modem etc) on lease, configuration, troubleshooting, monitoring, maintenance etc.

The primary connectivity is wired or wireless with backup on 3G, CDMA, RF etc based on feasibility of service provider at the location.

The MPLS VPN network architecture is HUB and spoke, with HUB locations being Datacenter and DR Site. The last mile is encrypted (IPSec). All locations can reach DC and DR simultaneously.

Further, three service providers are contracted to build the network. The bandwidth at the locations varies from 256Kbps to 4Mbps and at aggregation points (DC and DR) the bandwidth available is 4/32/64Mbps.  Bandwidth at the locations are upgraded based on operational requirement.

SIDBI also carries out additional monitoring, configuration and management of WAN, which is currently carried out by outsourced partner. For carrying out the same Bank has deployed HPOV, NNM.

➢ **LAN**

SIDBI has implemented IP based, wired LAN at all its locations/offices. The LAN is based on L2 switches at all locations/offices and L3 switch(s) at Datacenter and DR Site. The switches at the locations are of heterogeneous make and are primarily unmanaged.

SIDBI is in the process of replacement of switches at most of the locations with managed gigabit switches

SIDBI during the said contract period would be implementing Wireless LAN at few locations/offices.

➢ **Point to Point Link**

For online log shipment / replication from DC to DR, Bank has deployed point to point links of requisite bandwidth taken from two service providers. The links are terminated on L3 switches at DC and Firewall at DR.

➢ **The list of hardware used at all locations/offices is given below:**

| Sl.No. | Hardware Description | Make/Model |
|--------|---------------------|------------|
| **A.** | **DataCentre** | |
| 1 | Core Routers | Cisco 3900/3800/2900/1900 series |
| 2 | Core Switches (L3) | Cisco 6509 |
| 3 | Access switches (L3) | HP |
| 4 | Access Switches(L2) | Cisco 2950 / 2960 / HP |
| 5 | Firewall - Perimeter | Fortigate 800 in failover. (In process of replacement in this Financial Year.) |
| 6 | Firewall - Core | Fortigate 3600 in failover (Core) |
| 7 | NIPS | Cisco 4200 |
| **B.** | **DR Site** | |
| 1 | Router | Cisco 1900/2900 series |
| 2 | Core Switch | Cisco 3750X |
| 3 | Access Switches | Cisco 2950/HP/Dlink |
| 4 | Firewall | Checkpoint 4800 |
| **C.** | **Remote Locations** | |
| 1 | Router | Cisco 1900 series |
| 2 | Switches | Cisco 2950/2960/HP/Dlink |

### 3.4.3.2 External Networks

SIDBI also has connectivity with third party networks like Infinet, Reuters, SWIFT etc at both DC and DR.

The networks are currently connected as separate LAN. However, SIDBI proposes to integrate the same with DC / DR network through proper security during the contract period.

The complete network and security architecture at Data Center and DR Site is given below:
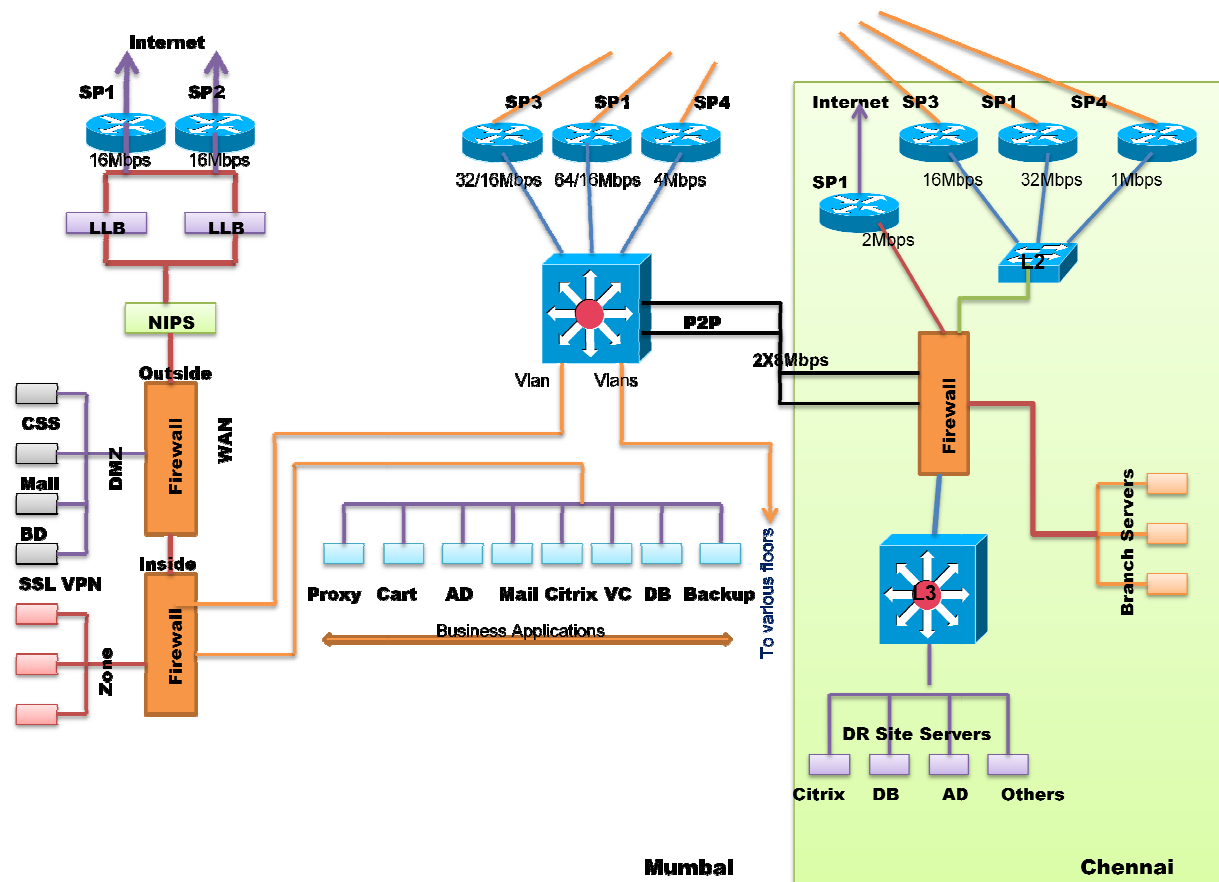


### 3.4.3.3 Internet

Internet at SIDBI is centralized with gateway at Datacenter and DR (activated during DR operations) and all locations access Internet over WAN with proxy authentication.

Bank has procured Internet bandwidth from two service providers at Mumbai and single service provider at Chennai. At Mumbai the links are terminated on link load balancers. Web Gateway Security (WGS) appliance is installed at Datacenter which acts as

proxy server with content filtering and antimalware software loaded on it. The WGS is integrated with AD. Currently, Bank does not have WGS at DR Site.

Note: during the period of contract, Bank may procure additional Internet bandwidth from multiple service providers at DC and DR. Further, Bank would also be adding WGS at DR.

### 3.4.3.4    E-Mail

SIDBI is currently using IBM Notes Domino for mailing. Outbound mails are sent from Notes to internal SMTP and then transferred directly over Internet.

SIDBI has its external mail box hosted with third party. All inbound internet mails from external domains, are first received at centralized hosted mail box, gets scanned for antispam, thereafter they are pushed to SMTP server of the Bank. On receipt, these mails are distributed on IBM Notes to respective users.

SIDBI has also enabled employees to access e-mails while on move through web browser, handheld devises & laptops.

### 3.4.3.5    SMS facility

SIDBI also subscribed to bulk SMS facility.

### 3.4.3.6    End Computing Devices

SIDBI has provided its users with desktop computers or laptops based on requirement. The desktop/ laptops are installed/configured with office automation software, antivirus and basic utilities (acrobat reader etc), citrix client etc.

### 3.4.3.7    Video Conferencing

SIDBI has deployed video conferencing solution at all locations/offices. The solution is a mix of hardware/software based. The core infrastructure installed at Datacenter, consists of :

| S.N. | Description | Make | Model | Remarks |
|------|-------------|------|-------|---------|
| 1 | MCU | Polycom | RMX 1500 | 15 port, full HD |
| | | Polycom | RMX 1500 | 5 Port with PRI card |
| | | Radvision | Elite | 10 Port, full HD |
| 2 | Recording | Polycom | RSS 4000 | 5 port |
| 3 | Realpresence Distributed | Polycom | DMA 7000 | 50 concurrent calls. |

| | Media Application | | | |
|---|---|---|---|---|
| 4 | RealPresence Resource manager | Polycom | RM | With 100 desktop clients |

The endpoints deployed at the locations are mix of Polycom (HDX 8000/7000/Group 500 series).

The video conferencing is carried over existing WAN (no separate network for VC is implemented), Internet and PRI lines.

### 3.4.3.8 Data Center (DC)

The Security architecture deployed at DC is two layer firewall architecture i.e. internal and perimeter. On the perimeter firewall, DMZs are created for hosting web servers, notes traveler etc. Internal firewall zoning is done for hosting database servers, middleware servers, applications servers, citrix servers etc.

Network Intrusion Prevention System (NIPS) is implemented at the perimeter and Antivirus loaded on all servers.

### 3.4.3.9 DR Site (DR)

At DR Site, Bank has deployed single firewall on which zoning is created to host various components (Database Servers, Citrix Servers, Application Servers, Mail servers etc).

**Note**: SIDBI is in the process of implementing the recommendations of IT Security consultant (refer to ongoing projects), in phased manner. Initially, various zones would be created on the core firewall at DC for hosting databases, applications, UAT environment, backup etc. Further, various security measures like WIPS, PIM also would be deployed. The security/network architecture at DR would be made similar to DC.

In the next phase various other security measures like SIEM tool, DLP etc, would be taken up in due course during period of said contract.

### 3.4.3.10 SSL VPN

To enable staff and customers access applications over Internet, SIDBIhas deployed SSL VPN appliance at both Data Center and DR Site.

### 3.4.3.11 Antivirus and Operating System Patches

Enterprise edition Antivirus is deployed at datacenter and clients loaded on all the servers and end computing devices. The antivirus definitions are updated periodically from the antivirus server hosted at datacenter.

Further, WSUS server is installed in the datacenter and windows patches are periodically updated from the same to the servers and end computing devices.

### 3.4.3.12 Branch/Office

All the branches are connected over MPLS VPN to Data Center and DR Site. The local LAN is connected directly to the router.

### 3.4.3.13 Authentication

Currently, Bank has single factor (password) authentication. Bank is in the process of implementing two factor authentications for applications, with second factor being biometric. The project is in progress and likely to be completed by October / November 2015.

### 3.4.3.14 Syslog Server

Bank has deployed syslog server to gather the logs of key network and security devices.

### 3.4.3.15 Website

SIDBI has its website hosted with third party. Content management is also outsourced.

### 3.4.3.16 Web Servers

SIDBI has hosted few web servers in its datacenter which are used by internal users and external users.

### 3.4.4 Business Application

The application development, maintenance and support is done in-house or outsourced on need basis. Most of the legacy applications have been developed (or ported to) in Oracle forms 6i (Client-Server mode) and are being used with oracle 10g database. Few applications have been developed on Java platform. SIDBI has also purchased and implemented software for some specific operations, which use different technology. Few

applications are deployed using .NET. Also some software have been developed using IBM Domino.

The architecture is client-server architecture with the business logic distributed in the client as well as in the database stored procedures and triggers.

All the applications have been deployed centrally at the Data Center using Citrix XenApp and Web Servers. Applications are accessed over WAN using Citrix web client or Internet browser. The client machines need to have Citrix web client and J-Initiator (Java utility) installed to access the applications. Most of the application servers are configured in load balancing mode. There is sufficient level of clustering build at the application level for Citrix and Web Application servers as well. The central deployment of the applications allows for easy deployment of the new releases and patches. Application access over internet is enabled for selected applications for few customers and Bank's officers (on need basis), using Access Gateway.

An indicative list of applications is given below:

| S.No. | Application Name | Use of the Application |
|-------|-----------------|------------------------|
| **In-house Applications** | | |
| 1 | Direct Finance System (DFS) | Term loan management and accounting including Working Capital, bank Guarantee schemes and Non-treasury Investments. |
| 2 | Receivable Finance Systems (RFS) | Bill / Invoice discounting management and accounting. |
| 3 | Refinance Systems (all schemes) | Management and accounting of various Refinancing schemes to Banks/SFCs/SIDCs |
| 4 | Recovery and NPA Management System (RNMS) | Management of NPA accounts, Security management |
| 5 | Resource Management System (RMS) | Term deposits and priority sector deposits. |
| 6 | Management Information System (MIS) | MIS and Exposure monitoring system, Controllable Expenses Budget Entry, Compliance Monitoring System |
| 7 | Payroll System (CSPC & ADMPAY) | Salary processing software |
| 8 | Common Administrative Payments (CAP) | Staff administrative payments / Reimbursements/ Loans & Advances. |
| 9 | Terminal Benefit System (TBS) | Managing terminal benefits like PF, Pension and Gratuity |
| 10 | RTUF, GSC Single sign-on (IDLS), | Managing interest subsidies out of Govt. Schemes (CLCSS is handled using e-portal platform of DC-MSME, GOI) |
| 11 | RTI System | Monitoring of RTI applications |

| S.No. | Application Name | Use of the Application |
|---|---|---|
| 12 | SSO | Single Sign-on linked applications accessed over Intranet. (Citrix based & Web based) |
| 13 | Due Diligence software, | Managing IBA third party entity & IBA fraud list, Caution Advice & Wilful defaulter list, CIBIL, Machinery Supplier Database System |
| 14 | Intranet Portal (All portals) | Management of intranet portals and various support portals viz. SITI e-Learning, Legal e-Learning, Legal Cloud, Vigilance corner. |
| 15 | Credit Appraisal & Rating Tool (CART) | Application tracking, appraisal and rating. |
| 16 | Customer Management | Customer complaint management software |
| 17 | Flexcube Interface, GL Reports | Flexcube Interface and GL Reporting |
| 18 | General Payment Processing System (GPPS) | Front-end voucher entry and inter-branch accounting, vendor payments |
| 19 | Payment and Collection System (PnC) | Payments, collection management and daily fund management |
| 20 | Fixed Asset Software / Centralized Depreciation System (CDS) | Dead stock management software |
| 21 | Board Agendas Management System (BAMS) | Tracking and management of Board agendas for directors |
| 22 | Tender Tracking System (TTS) | Tender tracking and Vigilance Reporting |
| 23 | Inward / Outward System | Management of inward and outward of external communications |
| 24 | Info Channel | Notes based Information Channels |
| 25 | Library System (Hindi / English/others) | Notes based Library System |
| 26 | HVT/ET | High Value Transactions/ Exceptional Transactions Monitoring and Tracking |
| **Outsourced / Off-the-shelf Applications** | | |
| 27 | Integrated Treasury Management System (ITMS) – FIS, FX and Quadryx (Credence) | Dealing Room Operations- Fixed income securities, Forex Dealing Room and Derivatives |
| 28 | OFSA (Oracle) | Asset Liability Management (ALM) and Fund Transfer (FTP) |
| 29 | Flexcube GL / CIF | General Ledger & Customer information file (CIF) |
| 30 | Risk Assessment Model (RAM) - CRISIL | Credit rating |
| 31 | Integrated Risk Management System | Crisil solution for Basel II compliance |
| 32 | HRMS | Software for HR management. |
| 33 | IBM Notes Domino Mail (IBM) | Email management |
| 34 | Websites | Maintenance outsourced |
| 35 | Biometric Attendance System - Abacus | Biometric attendance |
| 36 | Biometric Authentication System -NEC | Dual authentication and Single Sign On Maintenance outsourced |

### 3.4.5 Architecture – Citrix based Application

A schematic diagram of Citrix based application is at SIDBI is shown below.
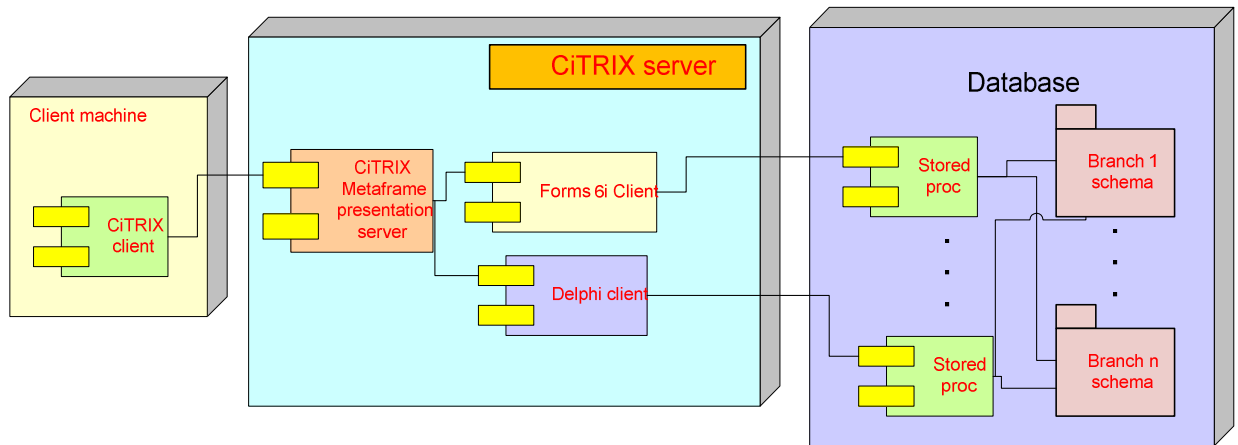


### 3.4.6 Architecture – J2EE Architecture

A schematic diagram of J2EE based application is at SIDBI is shown below
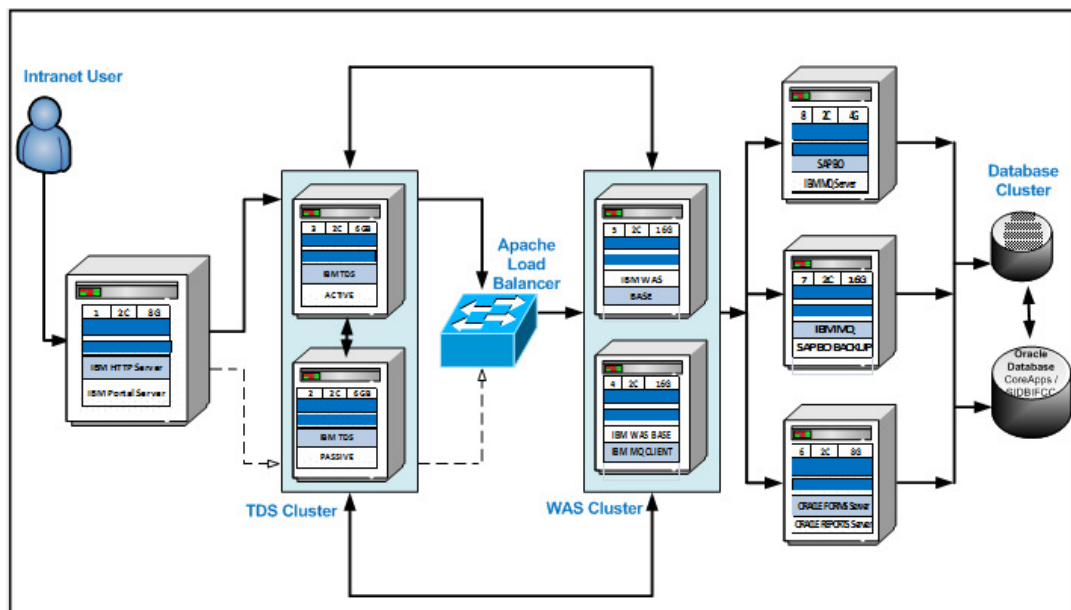
### 3.4.7 Integration/Interface between Applications

In order to provide required functionality and to reduce redundancy, point to point integration among various in-house application(s) & products have been implemented using Oracle database and IBM MQ series.

### 3.4.8 Disaster Recovery

The Disaster recovery site has been implemented at Chennai and is operational for major applications.

## 3.5 Present IT Infrastructure Management

SIDBI has outsourced its IT infrastructure management to an external service provider till December 31, 2015. Broad Scope of the project includes:

1. Project Management and Governance
2. Delivery of services based on ITIL v3 framework
3. Transition Management
4. Data Center & DR Site Managed Services
5. Facility Management
6. AMC Services
7. Business application Support
8. Management of software tools on which business applications are deployed
9. Installation, Configuration, administration, customization, upgrade/patch/new release deployment, optimum utilization of the EMS tools.
10. Reporting & Documentation

IT Infrastructure Management Cell (IIMC) at SIDBI, Mumbai office has been setup. The IIMC Team comprises of a Program Manager, resource personnel with appropriate skill sets in the respective support area viz. Help Desk & Remote Desktop management, Facility Management, Server Administration, Database Administration, Network and Security Administration (LAN & WAN), Mail administration, and Backup administration, Vendor Management etc. Service delivery and management is being done as per the IT Infrastructure Library (ITIL) framework. On-site facility management services are extended to selected remote offices. For other remote offices, the FM services are extended remotely

from IIMC and through weekly visits and on-call basis. The application development, maintenance and support are done in-house or outsourced on need basis.

SIDBI has implemented below mentioned HP – EMS tools

| ➢ **HP - BSM Tools** | ➢ **HP – Monitoring Tools** |
|---|---|
| Business Service Mgmt (BSM-9.1) | Service Manager 7.11 (Help Desk) |
| Sitescope 11.24  - Solution | Network Monitoring – (NNMi  -9.20) |
| Real user monitoring  (RUM – 9.20) | Operations Manager :  Version  9.0 |
| Diagnostics – 9.1 (Application Drill Down) | Client Automation Service (CAS – 7.9) |
| Service Manager 7.11 (Help Desk) | Client Patch Deployment |

Category wise/ location wise details of existing IT infrastructure are separately provided in **Appendices I through VI** in this document.

# 3.6 Ongoing IT Project - Summary

## 3.6.1 IT Strategy

SIDBI is presently in a process of reviewing its current IT landscape and formulate its IT Strategy. In addition to assessing the existing Technology-Business alignment and rationalize IT applications, bank also wants to assess its IT capability to support future Business requirements, regulatory compliance, risk mitigation and technology trends in the industry. SIDBI has since appointed a consultant for formulating IT Strategy and Roadmap to assist in identifying and prioritizing IT initiatives.

In view of the above, SIDBI may adapt new technologies, tools, hardware/gadgets and acquire new software products by way of in-house development or customized/un-customized off-the-shelf products.   The proposed IT strategy may result in new or customized solutions in the following areas but not limited to :

1. Customer Relationship Management

2. Digital Communication Channels

3. Business Intelligence and Analytics

4. Document management and automated workflow

5. Business Applications

6. E-learning, Knowledge Management and collaboration

7. Enterprise Resource Planning

8. Legal & RTI case management

9.  Integration Architecture

10. Network and Security Architecture

11. Co-location of DC and DR site at third party Data Centres

### 3.6.2    IPV 6 Study

Department of Telecommunications, Ministry of Communications and IT, Government of India has mandated all Government organizations should prepare a detailed transition plan for complete migration to IPv6 by December' 2017.

In order to achieve the same, SIDBI has appointed IPv6 Consultant. The scope of consultant is:

- IPv6 Readiness Assessment and Gap Analysis

- IPv6 Architecture Development and Roadmap

- IPv6 Pilot Test Plan

- Tender for Selection of Implementing Agencies

The consultant has completed the consultancy and submitted the requisite documents. SIDBI would be issuing tender for selection of implementing agencies.

**Impact**: Since SIDBI would be moving to IPv6 in phases starting with perimeter, DC/DR and branches, IPv4 and IPv6 would be coexisting. Hence, the vendor should manage both IPv4 and IPv6 networks. The network and security engineers deployed by the vendor should have good understanding of IPv6 addressing, transition methods, troubleshooting etc.

### 3.6.3    IT Security

SIDBI has engaged consultant for redesigning IT security architecture in the Bank. The scope of the consultant is to study the existing IT security architecture and redesign the same based on Banks IT Security Policy, RBI guidelines and ISO 27001 framework.

The Consultant has submitted the report and SIDBI is in the process of implementation of report in various phases. Initially as per the report, Bank would be strengthening of core security infrastructure at DC and DR by replacement/procurement of firewalls, NIPS, WIPS, PIM etc and creation of various zones on the firewalls for hosting various applications, databases etc. Further, DR security / network architecture would be made similar to DC.

In other phases various security solutions like NAC, DAM, SIEM tool etc would be added and Security Operating Centre would be created (which would be managed by the outsourcing vendor).

However, depending upon the criticality and requirement for various projects implementation of solutions would be taken-up on priority.

Impact: Security / network architecture at DC would be strengthened by addition of various security solutions. DR architecture would be made similar to DC. The vendor deployed engineer for management of security should have good understanding/ knowledge of various security measures as specified above. The engineer should associate with the security solution vendors shortlisted by SIDBI during installation/configuration/ management.

### 3.6.4     ISO 27001 Implementation

SIDBI intends to have its Data Center and DR site ISO 27001 certified. To achieve the same, Bank is in the process of engaging consultant. The scope of the consultant would be:

- Current State Study, Statement of Applicability and Asset Compilation.
- Gap Analysis, Documentation, Security Base-lining and Risk assessment and Treatment.
- Implementation, pre certification audits and implementation and maintenance training.
- Certification
- Surveillance audits, maintenance of certificate and Training.

**Impact**: The security engineer should coordinate with the consultant during study, gap analysis, implementation, certification and periodic surveillance audits.

### 3.6.5     IT Procurement (DC/DR/ Branches)

SIDBI is in the process of procurement of Server, Virtualization software and storage infrastructure at Data Center, Mumbai and various offices to replace / consolidate the existing hardware getting phased out.

SIDBI is also in the process of up-gradation of LAN to gigabit by replacement of network switches at the locations with L2 managed gigabit switches. At Regional offices, SIDBI would be implementing L3 switches.

The selected service provider would be required to facilitate and carry out necessary activities towards commissioning of the new / existing infrastructure and optimally rearrange / reallocate in DC, DR & branches.

### 3.6.6     Outsourcing of End-user Computing Device Management – FM Support –

SIDBI is in the process of Outsourcing of Facility Management Service. The project scope cover outsourcing of FM Services of end user computing devices (i.e. Desktop Computer/PC, Laptop, Printer, Scanner, Switches, VC Equipments, UPS, Projectors, external HDD,CD-Writer, Finger Print device, iPad, Tablet & other IT smart devices), AMC and VC management services, for a period of 5 years on TCO basis.

The selected service provider under current RfP (IMO), will be required to ensure close coordination with FM Support service provider to ensure optimal service level. All the issues, wherever the interface is required with FM support service provider, needs to be supported &resolved with mutual discussion and as advised by SIDBI.

❈   ❈   ❈   ❈   ❈   ❈

# 4.	Project Scope

## 4.1	Objective

SIDBI intends to go for end-to-end outsourcing of its IT infrastructure management for a period of 5 years on TCO basis with the following objectives and envisaged outcomes that the Service Provider has to ensure throughout the contract period.

1. Establish effective and efficient Infrastructure monitoring & management practices to ensure reliability, availability, quality of services and security of the Information systems

2. Help the bank to focus on the core business activities, service delivery to its customers & administration.

3. Help the bank in freeing from the problems relating to vendor management, infrastructure, and security and performance management.

4. Exploit maximum benefit for the bank out of the EMS tools, in terms of reduced response time and productivity of the users and thereby utilizing the investment for better services to the customer.

5. Incorporate/adhere the security and Interoperability guidelines issued by the bank during the course of the contract.

6. Ensure compliance to the audits and the observations of regulatory bodies.

7. Ensure innovative use of available technology to effectively improve 'Return on Investment' on continuous basis by improving response time and productivity for the business of the bank.

8. Carry-out effective IT infrastructure, Applications support and tools management as per the detailed scope defined in this RfP document.

9. Enhance reliability & security of Information Systems through centralized management of IT Infrastructure adopting the necessary measures and practices like:

   a. Dynamic Scalability
   b. Centralized and Simplified Management
   c. Improved quality of Data housekeeping
   d. Lower risk of data loss
   e. Higher availability of systems and data - 24x7x365
   f. Better management of security & access control
   g. Guaranteed Service Levels

h. Reduced administrative burden for the bank and Information Technology Vertical (ITV) by avoiding necessity of vendor management, addressing the technical issues surrounding the IT Infrastructure.
i. Efficient & effective management of Information Security related issues across the bank.
j. Availability of 'IT Infrastructure on Demand'.
k. Aggregation of IT Infrastructure (Hardware, Storage, Networking and Software) and Management Resources.
l. Optimal Utilization of IT Infrastructure Resources.
m. Standardization of Systems & Improved Scalability
n. Faster Implementation cycle times
o. Stable and Predictable Physical and Technical Environment

## 4.2    Requisite Standard of Services

The respondent must have all the management facilities as per standard industry norms. All the processes defined for IT service delivery and support should be compliant based on ITIL framework of service management.

Being a financial institution, security of its internal business, systems, and data/information would be a prime concern for SIDBI while availing the services as mentioned in this document. The bidders are required to define sufficient frameworks in their proposal to mitigate the risk and also provide details of managing similar activities of other All India banking & financial institution. To ensure this, bidders are required to submit the implementation plan based on ITSM/ITIL framework as part of their technical proposal. This plan should be comprehensive enough and will include the milestones, description, timelines etc. so as to ascertain that the Services delivered to SIDBI by the bidder are:

1. As per the agreed Service levels

2. Professionally managed with domain expertise

3. Project Risks are well understood and managed

The bidder shall be responsible to implement ITSM/ITIL standards which shall promote the adoption of an integrated process approach to effectively deliver managed services to meet the bank's expectations. The bidder shall monitor and measure processes /services and report the results and take actions to continually improve performance.

The selected service provider will be required to ensure close coordination with FM Support service provider (as described in section 3.6.6) to ensure optimal service level. All the issues, wherever the interface is required with FM support service provider, needs to be supported & resolved with mutual discussion and as advised by SIDBI.

## 4.3    Scope at a Glance

The bank is looking forward for the delivery of following broad area of services under the project:

1. Project Management and Governance

2. Delivery of services based on ITIL v3 framework

3. Transition Management

4. Data Center & DR Site Managed Services

5. AMC Services

6. Business application Support

7. Management of middleware / software tools on which business applications are deployed

8. New Implementation, Reinstallation, Configuration, Administration, Upgrade /patch /new release deployment, Performance tuning of all the software components (on existing as well as on new hardware)  viz. Operating System, Database(s), Middleware Tools, Mailing Solution, Enterprise Backup Solution, Virtualization tools, Antivirus services, Webserver(s), Portal, Application Server(s) etc.

9. New Implementation, Reinstallation, Configuration, Administration, Upgrade /patch /new release deployment of all the in-house application(s) and Products.

10. Implementation, Configuration, administration, customization, upgrade /patch /new release deployment, optimum utilization of the EMS tools.

11. Reporting & Documentation

## 4.4    Statement of Work – Infrastructure Management

Service provider would be required to deliver all the following services and improve upon them on continuous basis throughout the project lifecycle.

Detailed scope of work for each of the high level of scope mentioned above is given below:

### 4.4.1    Project Management and Governance

SIDBI desires the prospective Service Provider to follow the Project Management and Governance methodology having comprehensive set of methods, practices, and techniques to support successful delivery of the proposed project to achieve the business goal of the bank. Service Provider needs to focus at the following areas as part of its comprehensive Project Methodology.

1.  Aligning the project plans with SIDBI business plans to verify the project meets the business requirements

2.  Defining project expectations, objectives, milestones, and deliverables to reduce the risk associated with implementation of the solution.

3.  Assigning direct ownership of project deliverables and dependencies with clarity and focused approach.

4.  Executing effective and flexible communication methods to bring common understanding on the status of the project.

5.  Monitoring the risk plan and executing contingency plans to minimize the impact on the project.

6.  Managing changes to scope which impact the schedule, quality and costs to align the changes with SIDBI priorities.

7.  Tracking implementation of the solution to minimize impact on SIDBI's business continuity.

8.  Continuous improvement in service delivery throughout the project lifecycle.

9.  Innovative use of the available technology to meet the expectation of bank in achieving its business goal.

**Service Provider** (SP) will deploy full time Project Manager(s) at SIDBI, Mumbai who will manage the project as a whole and act as an interface between SIDBI and the Service Provider during the contract period. He will be single point of contact on behalf of service provider.

Additionally, SP will also need to put in place a strong arrangement of project governance from backend having both technical and domain expertise. It is therefore necessary that SP has a proven track record of having different towers/verticals for providing such services.

SP should provide the detailed description for project management activities as part of the proposal in response to this RFP.

**Project Management/Governance responsibilities would primarily cover the following**:

a. To ensure Services Delivery and resource management.
b. To prepare project Plan, Managing the contingencies, resource management & logistics while maintaining Service delivery.
c. Risk identification and mitigation strategy.
d. To design, implement and demonstrate processes
e. Training for its resources.
f. Customer Satisfaction rating to be measured & efforts are made for the improvement.
g. To factor resource redundancy plan for better continuity and reliability of services.
h. To create documentation for all the processes in line with quality standards.
i. Smooth taking over of the IT Infrastructure during the transition phase.
j. Implementation of tools and delivery of services must adhere to IT policy, IT security policy or any such guideline of the bank.
k. Ensuring continuous improvement of services
l. Sharing knowledge and value addition with SIDBI IT team on continuous basis.
m. Innovative and effective use of EMS tools in delivering services
n. Overall responsibility for delivery of services as per Scope/ Statement of Work/s (SOW) and Service Level Agreement (SLA).
o. Act as a primary interface to SIDBI for all matters that can affect the baseline, schedule and cost of the project.
p. Maintain project communications with stakeholders of SIDBI.
q. Provide strategic and tactical recommendations in relation to technology related issues and technology improvement.
r. Provide escalation to Service Provider's senior management if required.
s. Resolve deviations from the phased project plan.
t. Conduct regularly scheduled project status/ review meetings involving officials of the Service Provider and SIDBI.
u. Review and administer the Project Change Control Procedure with SIDBI Project Leader.
v. Identify and resolve problems and issues together with SIDBI Project Leader.
w. Submission of all periodic reports
x. Preparatory activities and submission of all related information required to facilitate SIDBI in clearing invoices submitted by SP.
y. Provide necessary support and information to internal or external auditors or any other agency in carrying out audit of systems/procedures being followed in management of IT infrastructure of the bank.

z. Compliance of audit observation, if any.

aa. Compliance of IT Security Policies with respect to IT Infrastructure management.

bb. Conduct periodic Customer Satisfaction (CSAT) survey and submit report thereof to SIDBI.

## 4.4.2    Service Delivery Management:

Service provider will be required to use ITIL v3 based framework for the delivery of services under the project. Accordingly, the service provider needs to submit detailed methodology including organizational setup, project management, configuration of EMS tools and transition plan which is proposed to be followed by itself for the delivery of services during the contract period using ITIL framework.

## 4.4.3    Transition Management

SIDBI recognizes that the transition process and its effectiveness, has a significant impact on success of ongoing services. SIDBI has the following key objectives for transition:

1. Maintain steady operation of all services and maintenance of current service levels during migration of controls and responsibility from current vendor / SIDBI to selected Service Provider.

2. Successfully complete all activities, providing a stable platform for future improvement in service delivery and associated benefits for SIDBI Transition Deliverables.

3. **Transition period (4 weeks) tentatively starting from December 01, 2015**, shall be divided into two phases. Exact schedule will be decided with the selected bidder.

    a. **First phase** (2 weeks) will be more focused on start up activities such as resource deployment, knowledge transfer, taking over from SIDBI/current SP and transition of "AS IS" processes.

    b. **In Second phase** (2 weeks), Service Provider will be required to improve and optimize on"AS IS" processes and ensure to complete following activities:

        i. Inventory verification.

        ii. Study and analyze the existing processes with reference to ITIL framework and find out the gaps, if any.

        iii. Suggest the improvement plan.

        iv. Finalize the reporting mechanism in consultation with SIDBI.

### 4.4.4    Service / Help Desk

1. Shall provide "ownership-to-resolution" of all help desk calls, monitor and report on the progress of problem resolution, confirm resolution of the problem with the End User, and log the final resolution via the problem management system;

2. Shall record, analyze and report on calls received by the help desk, including:

   a. Call volumes and duration,
   b. Incident & Problem trends,
   c. Call resolution time.

3. Shall assign priorities to problems, queries, and requests based on the guidelines/SLA provided by SIDBI;

4. Shall monitor and report to SIDBI on maintenance vendor performance;

5. Shall monitor and report to SIDBI on SLA's with various 3rd party vendors (including WAN vendor).

6. Shall provide input to SIDBI on End User training requirements based on help desk call tracking and analysis;

7. SIDBI is having best practices for IT Service Management using ITIL Framework for Service Desk Operations. While the Service Provider would be required to maintain the existing practices, introduction of any new ITIL complaint practices and/or improvement of the existing practices would be expected from the service provider.

8. The Service Desk is currently using HP OpenView Service Manager with the following process management functionality - Help Desk Management, Change Management, Service Level Management, Call process flow, Configuration Management Database (CMDB) and Organization Management. Service provider would be required to continue to maintain these functionalities.

9. Service manager has been configured and being used for the following purposes:

   a. IT infrastructure related services – Calls logged through this are handled by IT Infrastructure Management Centre (IIMC).
   b. Business Applications related services – Calls logged are handled by application support group/ desks.
   c. Service manager tool may be used by SIDBI for any other similar helpdesk / service desk operations in the Bank. In case of such requirements, service manager tool would have to be configured by the vendor.

10.  Service Manager acts as a single-point-of-contact, via telephone, email and web assistance for SIDBI End Users who require assistance in the resolution of problems, concerns, query and to request Services.

11.  Service Provider will provide support using appropriate software tools and skilled Service desk personnel during agreed service window. Generally the users are required to log the call through Service Center but in case of network not available or any other emergency, users can also call the centralized Service Desk to log the call and get assistance through a designated person who will provide telephone support during such hours.

12.  Service Provider should implement new processes, if any, with high focus on improving first call resolution and drive productivity and proactive measures.

13.  Service Desk shall provide online support / resolution of problem using tools for shadowing of user screen, taking control of remote desktops.

14.  The Helpdesk module manages the complex relationships between user problems and network events and supports following features:

    a. Web Interface.
    b. Trouble ticketing.
    c. Automatically and efficiently tracks, logs and escalates user interactions and requests.
    d. End users are able to submit and check the status of reported problems via web interface.
    e. Technical Specialists are able to view, change the status of the calls, reassign / transfer the call to other technical specialist through the Web Interface.
    f. Able to generate various customized Service Level Reports e.g. Open Call Reports, Closed Call Reports, Problem Area / Location specific Reports, downtime reports etc.
    g. Help desk offers ITIL framework based templates that can be configured and used for the support, monitoring and tracking of any of the desired services Helpdesk allows changes, incidents, problems, service calls and templates to be related to each other.

15.  Supports planned outages for activities, which require a shut-down of a node for a period of time, which results in outage of a particular Service.

16.  When incidents are created either manually or automatically, helpdesk retrieves the most appropriate service level and this in turn contributes to the automatic calculation of the event resolution deadline.

17. The helpdesk allows tracking progress of an incident with well defined timeline based event/escalation management.

18. Supports monitoring of the operating status of current asset inventory so that future asset needs can be effectively planned and budgeted for.

19. The escalation matrix is defined based upon Nature / Severity / Other Defined Parameters.

20. Escalation methods include E-mail Notifications using the backbone of bank's IBM Notes Domino based mailing solution and other operational methods such as popup screens, color coded messages and tickers.

21. Service provider has to configure and update the knowledge-base (license being procured), SOPs on regular basis for all the services under the scope of this project.

## SIDBI's Responsibilities

1. Help Service Provider in defining/ updating the help desk call prioritization guidelines (as a one-time activity or if necessitated during periodic reviews and/or on change in requirements), problem severity codes and escalation procedures;

2. Provide updated contact list (as a one-time activity)on periodic basis for use by help desk personnel in contacting SIDBI's appropriate personnel for assistance/notification, as specified above;

3. Initially, communicate all SIDBI End Users on the new service delivery process, including the Hardware, Software and Services to be supported by the help desk;

4. Communicate support responsibilities and procedures to SIDBI business unit contact personnel;

5. Assist Service Provider, as requested, in the resolution of problems outside the scope of Service Provider's responsibilities or recurring problems, which are the result of End User error;

6. Assist Service Provider in ensuring that SIDBI's other (3rd party) vendors report problem status and resolution back to the help desk;

7. Provide an adequate level of system authority for all Hardware, Software and resources for which Service Provider has problem resolution responsibility and communications access (such as physical links, modem connections, and analog lines);

8. Assist Service Provider in the development of help desk operational procedures by providing input, review and approval of such procedures (this is expected to be a one-time activity).

9. Allow Service Provider to utilize remote access capability to remotely diagnose problems if required; and

10. Report problems and forward requests to the service desk.

## Summary of Support Call

Severity/Type wise indicative number of calls being presently handled is given below. The figures given below are only indicative and may not be applicable in future. Vendor is required to make it's own assessment for sizing of the solution.

| IT Infrastructure (DC / DR) | |
|---|---|
| **Description** | **Average / month** |
| **Severity 1** | 1 |
| **Severity 2** | 22 |
| **Severity 3** | 23 |
| **Severity 4** | 1,500 |
| **Total Calls Received** | 1,546 |
| **Total Yearly Calls (Last Year)** | **18,560** |

| Application Support | |
|---|---|
| **Description** | **Average / month** |
| **Operational Support** | **902** |
| **Change Request** | **99** |
| **Bug fixing (Deployments)** | **20** |
| **User ID / Role Assignment** | **316** |
| **Password Reset** | **142** |
| **Total Calls Received** | **1,479** |
| **Total Yearly Calls(Last Year)** | **16,318** |

### 4.4.4.1    Service Level Agreement (SLA)management

1. The Service Desk should include/ map the prescribed SLAs for respective services so that the SLA monitoring can be done using the HP Service Manager tool.

2. Service Desk should make it possible to register and maintain services and SLAs as well as multiple sets of support hours.

3. Service provider shall ensure to achieve the SLAs prescribed for respective services, failing which penalties as applicable shall be deducted.

4.    When a call is logged in Help Desk, the available support hours should be linked to the service levels used when calculating deadlines.

5.    The priority level assigned to a service call should be based on the related service level agreement and the impact.

6.    It should be possible to define the services offered to the organization as well as the SLA associated with each service.

7.    Service provider has to make available all the relevant reports for management of SLA.

> Currently all support / service calls are being monitored in Service Manager (SM-7) and SLA is being measured using SM-7 of HP-EMS Tool. Selected bidder may have to configure the SLAs using SM-7 as per the scope. Selected service provider may be required to review and update / configure/ customize the existing installation and incorporate changes, if any.

### 4.4.4.2    Asset/ Inventory Management

Protecting SIDBI's investment in a computerized environment spread across multiple locations entails, firstly, knowing what those assets are and, secondly, acquiring new assets in a standard coordinated process. Service Provider should provide Asset Tracking and Management Services to this end and should coordinate and ensure the regular updation of inventory database for both software and hardware.

**Service Provider's responsibilities**

1.    This service provides for performing asset tracking, and includes performing an initial verification of inventory of Hardware and Software to validate and establish the Configuration Management Database (CMDB).

2.    Service provider shall define the process for tracking Hardware and Software throughout the life cycle from procurement through disposal, including any changes performed during the useful life of the asset.

3.    Record installation of all new machines, movement within site/between locations, changes in configuration/upgrade of machines.

4.    Track assets, check quality, maintain utilization level.

5.  Asset tagging (Labeling / Bar coding). The SP shall arrange to print the asset tags in SIDBI prescribed format and fix the tags on his own.

6.  Ensure asset verification at DC/DR of SIDBI, once in a year, reconcile with hardware database and report to SIDBI as per bank's guideline.

7.  Coordinate with FM Outsourcing vendor for update/reconciliation of assets in hardware database corresponding to verification of assets at various SIDBI offices.

8.  Maintain software library as part of software inventory and issue software media on request as per bank's policy.

9.  Maintain Asset Database of IT Assets and updates the asset management database to track the move add change and Installation.

10. Maintain up to date inventory of all Hardware and Software assets giving information like locations, configuration details, serial number, asset, code, warranty and AMC details.

11. Track Installation of IT equipment including server, Router switches Desktops PC, IDS, Firewall and any other IT Equipment.

12. Track Licensed software and Application, movement within site/ between locations, changes in configurations etc. (SIDBI to provide centralized asset tracking tool.)

13. Consolidate all license information.

14. Monitoring Warranty/AMC details to notify contract renewals (Intimate 60 days in advance).

15. Coordinate Hardware upgrade with vendors and update the asset database.

16. Repairs and Replacement and assist in scrap management. (to be assigned to Vendor Management)

17. Maintain the inventory of stock in stores.

## SIDBI's Responsibilities

1.  Be responsible for advising Service Provider of hardware and software procurements, transfers or terminations which affect warranty and license registrations; and Notify Service Provider of any Hardware and Software procured by company and of any changes made by company to such Hardware and Software;

2. Be responsible for End User compliance with the terms and conditions of the software licenses and manufacturers' warranty specifications.

3. Be responsible for resolving any reconciliation discrepancies with the help of Service Provider;

4. Work with Service Provider to develop and coordinate a schedule to allow Service Provider free and sufficient access to all assets when performing a physical inventory.

5. Reconciliation & acceptance of the initial inventory verification performed by vendor.

### 4.4.4.3   Vendor Management Services

SIDBI has various vendors (Product support/ OEM/ AMC/ Warranty) for the IT infrastructure (Software and hardware). **Service Provider** will be required to provide vendor management services to ensure proper coordination, timely support/ resolution and seamless operations.

#### Service Provider's responsibilities

1. Coordinate with these vendors for support services.

2. Maintain good relations with them on behalf of SIDBI.

3. Logging calls, co-ordination and follow-up with vendors.

4. Escalation of calls to the higher levels at vendor side in case of requirement.

5. Vendors SLA tracking and monitoring with alerts and escalations (including WAN vendor)

6. AMC/ Warranty/ Support Tracking

7. Providing necessary and advance information for entering into / renewal of AMC. (However order and payment for AMC to the vendor will be made separately by SIDBI)

8. Management of assets sent for repair.

9. Maintain database of the various vendors with details like contact person, Tel. Nos., escalation matrix, and response time and resolution time commitments. Log calls with vendors Coordinate and follow up with the vendors and get the necessary spares exchanged.

10. Analyze the performance of the vendors periodically (Quarterly basis).

11. Keep SIDBI updated on the services and performance of these third party vendors.

#### SIDBI's responsibilities

| DC & DR Infrastructure Managed Services | 400/2016/1121/BYO/ITV | **Page : 49 of 150** |
|---|---|---|
| | Issued on: October 28, 2015 | |

1. SIDBI will provide list of all the vendors with details like contact person, Tel. Nos., escalation matrix.

2. SIDBI will provide SLA signed with individual vendors. SIDBI will advise 3rd party vendors to address the queries of Service Provider, if any.

3. SIDBI will provide to the service provider details of the 3rd party vendors as and when any contract is renewed/ entered into.

### 4.4.4.4 License Management

Service provider shall track software usage throughout the IT setup so as to effectively manage the risk of unauthorized usage or under-licensing of software installed in the bank. This may be carried out through the use of standard license metering tools.

### 4.4.4.5 Miscellaneous services

Service provider will be required to provide following miscellaneous services:

1. Coordinate the disposal of hardware as per bank's guideline issued from time to time.

2. In the event of shifting / collocation of Data Center and/or DR Site by SIDBI, the service provider would be required to relocate / provide few resources at the new site as per the requirements. Service provider will also required to ensure de-installation of all the hardware, supervise packing/transportation and installation/commission of equipment at new location. No extra cost will be borne by SIDBI for the same. However packing and transportation will be arranged by SIDBI separately.

3. In the event of adding new office / relocation of SIDBI office, the service provider has to coordinate with network service provider(s) for setting up of WAN connectivity etc. No additional cost would be paid for the same.

4. Coordinate with Insurer to make claim for any IT equipment in case of requirement. All required paper work and claims would be submitted by SIDBI to the appropriate Insurance agent. However, the service provider would provide hardware information to SIDBI/insuring agency, coordinate and follow-up w.r.t. status update.

5. Suggestions / Recommendation to improve the current infrastructure architecture for better response & security.

### 4.4.5 Data Centre& DR Site Operations Management

Service Provider will ensure the smooth functioning of Data Centre and Disaster Recovery (DR) Site operations.

## Service Provider's Responsibilities

1. Regularly monitor and log the state of environmental conditions and power conditions in the Datacenter and DR Site.

2. Basic assessment of Data Centre in terms of cooling, power, positioning of racks & other hardware etc. on an annual basis. The SP shall be required to do first such assessment and submit a report thereon within a period of 3 months from the date signing of contract.

3. Monitoring of UPS and AC cooling at Data Centre, Mumbai.

4. Coordinate with SIDBI and 3rd party vendors to resolve any problems and issues related to the Data Center & DR Site environment conditions, power, air-conditioning, UPS, LAN, Servers, racks, fire, water seepage, dust, cleanliness, etc.

5. Shall act as the first level of support for any issues related to above mentioned areas of services at the Data Center. The service provider will coordinate with SIDBI/ 3rd party vendors to resolve any problems and issues at the earliest.

6. Guide/suggest SIDBI on best practices of the industry which might be required to be implemented at the Data Centre& DR Site.

7. Co-ordinate with SIDBI for implementing any changes that may be required towards the placement and layout of infrastructure within the Data Center& DR Site.

8. Maintenance of log registers for its own resources and visitors inside the Data Centre.

9. Implementation of IT Security policies and compliance.

10. Adherence and maintenance of the access controls employed by SIDBI.

11. Facilitating various internal & external audits e.g. statutory audit, IS Audit, Security Audit, ISO 27000, Compliance Audit, regulatory audits etc. and Undertaking compliance to the observations made during audit(s). Service provider shall also suggest and recommend infrastructural requirement, if any, to SIDBI for the purpose of giving audit compliance.

## 4.4.6    Server Administration/ Management

**Service Provider** will provide the server administration and monitoring service to keep servers stable, operating efficiently and reliably.

### Service Provider's Responsibilities

1.   Administrative support for user registration, creating and maintaining user profiles, granting user access and authorization, Biometric enrollment & authentication, providing ongoing user password support, and providing administrative support for print, file, and directory services.

2.   Management of the user names, roles and passwords of all the relevant subsystems, including, but not limited to servers, applications, devices, etc.

3.   Setting up and configuring servers as per configurations documents/ guidelines provided by SIDBI.

4.   Installation /Upgrade / re-installation of the server operating systems and operating system utilities on existing or new servers. In case of servers with OEM/ 3rd party vendor support, service provider shall co-ordinate with the OEM/ 3rd party vendor for the performance of such activities.

5.   OS Administration including troubleshooting, hardening, patch deployment for all kind of operating systems viz. MS Windows, UNIX, Linux etc. and Virtualization software (Citrix XEN, VMWARE, Hypervisor etc.).

6.   Managing file systems and configuration.

7.   Ensure proper configuration of server parameters, operating systems administration, hardening, tuning and integration with Syslog server/SIEM tools etc. as per the requirement of the Bank.

8.   Regular backup of servers as per backup policies of SIDBI and its restoration as and when required by SIDBI with appropriate permissions. Proper check of restorability of backup media needs to be carried out periodically as defined by SIDBI.

9.   Regularly monitor and maintain a log of the performance monitoring of servers including but not limited to monitoring of CPU, disk space, memory utilization, I/O utilization, etc.

10.  Regular analysis of events and logs and maintain the reports for future audit purpose.

11.     Apply OS Patches and updates.

12.     Installation / updation / Rollback of SIDBI business applications based on guidelines provided by SIDBI. Period installation / updation / Rollback of business applications patches as and when released by SIDBI. However, the patch testing shall not be the responsibility of SP.

13.     Responsible for periodic health check of the systems, troubleshooting problems, analyzing and implementing rectification measures.

14.     Logical access control of user and groups on system.

15.     Responsible for managing uptime of servers as per SLAs.

16.     Take appropriate steps to comply with the audit observations made by various internal/ external auditors.

17.     Inform to the bank about any gaps & improvement related with security, performance, organization in the current setup.

18.     Regular BIOS & firmware upgrade of Infrastructure.

19.     Depending on the nature of applications deployed, Service Provider shall suggest appropriate security measures to be applied on various servers.

20.     Installation of other software e.g., Citrix, IBM Domino Notes, Oracle, Application Server (Tomcat/JBoss/Oracle Application Server), IBM Websphere application server, IBM Websphere Portal, Oracle Warehouse Builder, OFSA, Middleware tools, Web services, Security software(s) etc.

21.     Installation, porting & configure of SSL certificates wherever required. SSL Certificates shall be provided by SIDBI.

22.     Co-ordinate with SSL vendor for issuing and deployment of SSL certificates.

23.     Installation, Management including installation/ re-installation, patch deployment, maintenance including Coordination with OEM / third party for Bio-metric authentication system.

24.     Installation, Management including installation/ re-installation, patch deployment, maintenance including Coordination with OEM / third party for e-kuber, Swift, Bloomberg, Reuters, Gilts, CBLO etc. for all the software deployed for treasury operation(s) by SIDBI at any stage during the contract period.

25. Maintenance of Microsoft's Terminal Services Licensing server for smooth functioning of Citrix environment.

26. Up-gradation &Maintenance of Microsoft's Active Directory (MAD) and IBM's Tivoli Directory Services (TDS). Currently, TDS is being maintained only at Mumbai office.

27. Ensuring that the security policy is maintained and updates to the same are made regularly as per ISO 27001, / BS 7799 and BS 15000, ISO 20000 guidelines.

28. Operating system hardening through appropriate configuration and patch updates.

29. Root domain administration by creating the root and sub-domains and setting the root level security policies such as authentication mechanisms (single/multi factor), password policies such as password length, password complexity, password expiry, account lockout policy, certificate policies, IPSEC policies etc.

30. Periodic reviews of domain level rights and privileges.

31. Preparation/ updation of the new and existing Standard Operating Procedure (SOP) documents for all activities.

### SIDBI's Responsibilities

1. SIDBI authorized personnel will request for addition and deletion of users, request for change/ modification in password and for privileges. All changes will be routed through authorized personnel of SIDBI / Support desk.

2. Providing various policy document.

3. SIDBI to provide sitting space, PCs, network printers, Internet connectivity, telephone / fax access, etc. However, PCs required to the staff deployed by Service Provider in access of minimum staff prescribed by SIDBI, shall have to be arranged by Service Provider.

4. Define and provide SIDBI backup &security policy and procedures to Service Provider, including access controls and Server backup and restore requirements;

5. Providing existing SOP and configuration documents.

## 4.4.7 Database Administration (DBA) Services

**Service Provider** will provide Database administration services including performance monitoring, performance tuning/ optimization, predictive maintenance of table spaces, log

files, etc. as also administrative support for user registration, creating and maintaining user profiles, granting user access and authorization, providing ongoing user password support.

## Service Provider's Responsibilities

1. End-to-end management of databases on an ongoing basis to ensure smooth functioning of the same.

2. Management of changes to databases schema, disk space, storage, user roles.

3. Conduct code and configuration reviews to provide tuning inputs to the Information Services Department and it Application Development Groups in order to improve the application performance or resolve bottlenecks if any. The code refers to the code written in the back-end procedures/ packages in Database. The DBA will be required to review the code purely in terms of performance and syntax and not in terms of business logic.

4. Performance monitoring and tuning of the databases on a regular basis including, preventive maintenance of the databases.

5. Management of database upgrade or patch upgrade as and when required with minimal downtime.

6. Regular backups for all databases in accordance with the backup and archive policies of the bank. Also conduct recovery whenever required with appropriate permissions.

7. The DBA services shall be required for all the existing or new, production, development or test database, created during the contract period at Data Center and DR Site.

8. Installation / re-installation, configuration of Oracle software (or any other Database software) on Windows, HP Unix, Linux or on any other platform deployed by SIDBI during the contract period.

9. Create and maintain database required for development, testing and production environments.

10. Upgradation of Oracle (or any other Database software) database versions, patches etc as decided by SIDBI.

11. Plan for changes in the size of databases due to business growth and project implementation based on information supplied by SIDBI and reviewing plans with SIDBI on a regular basis for comment and approval.

12. Performing database shutdowns and restarts, as necessary.

13. Undertake tasks including managing changes to database schema, disk space, storage, user roles and privileges as per SIDBI's requirement and maintain security as per SIDBI's IT security policy.

14. Performing reorganizations to optimize performance when required.

15. Maintaining the databases to meet performance standards, maximize efficiency and minimize outages, as necessary and proactively reviewing database logs and alert logs and taking appropriate actions

16. Maintaining, updating, and implementing database archive processes and procedures to recover from an outage or corruption in a timely manner, to meet SIDBI's BCP document and business requirements.

17. Proactively providing capacity planning to prevent situations caused by lack of capacity (for example, dataset or table space capacity events, full log files etc.).

18. Setting and tuning system parameters for optimum database response and functions.

19. Provide performance monitoring and tuning services on the server databases.

20. Building appropriate indexes, specifying large enough buffers and caches, aligning the database implementation with IT infrastructure, monitoring databases and applications, reorganizing databases, etc.

21. Developing, documenting and maintaining physical database standards and procedures.

22. Manage database upgrade or patch upgrade as and when required with minimal downtime.

23. Backup and restoration of databases as per bank's backup policy.

24. Synchronization of database of DR site (Standby Database) with that of production database as per prevalent DR Policy of SIDBI.

25. Maintaining Oracle 10g or higher (as and when upgraded) databases with RAC and ASM in high availability. Management of RAC with Cluster Manager, instance monitoring/tuning, instance failover and recovery as well as cluster interconnects.

26. Perform general technical trouble shooting and give consultation to application development teams of SIDBI.

27. Deploying patches / releases / scripts/ ad-hoc reports for applications (In-house / products) as advised by SIDBI team.

28. Help application development teams in troubleshooting of Oracle specific (technical) errors/ issues and SQL tuning. However, errors due to business logic or data problem shall not come under the DBA role.

29. Log support cases as necessary and effectively work with Oracle Corporation (OEM/database service support provider)

30. Maintaining databases on a Storage Area Network (SAN) utilizing disk storage from various vendors.

31. Troubleshoots with problems regarding the databases, applications and development tools etc.

32. Administer all database objects, including tables, clusters, indexes, views, sequences, packages and procedures.

33. Performance of all database related activities for implementation and maintenance of application software.

34. Database License management as per OEM policies

35. Updatation and maintenance of SOPs.

### SIDBI's Responsibilities

1. Providing necessary license details along with necessary ID & Password for raising TAR with Oracle Corporation.

2. Providing existing SOP and policy documents.

## 4.4.8    Server Virtualization Services

### Service Provider's Responsibilities

1. Installation/ re-installation, Configuration, management of Server Virtualization software.

2. Currently, SIDBI is using Citrix XenServer Enterprise Editon for server virtualization – Total 05 licenses. During contract period SIDBI may install any other Server virtualization product which also needs to be managed.

3. Creation, configuration and resource allocation of guest machines (VMs) on the host servers as per bank's requirements.

4. Deployment of OS, security patches, anti-virus and applications on the VMs.

5. Allocation of Logical Unit Numbers (LUNs) to VMs from SAN or any other storage box provided by SIDBI.

6. Ensure optimum performance and high availability of VMs making use of critical features of virtualization viz. VMotion, High availability, Dynamic workload management, dynamic provisioning services etc.

7. Backup and restoration of host server and VMs as per bank's backup policy.

8. Preparation of the new and updation of the existing Standard Operating Procedure documents.

9. Conduct regular internal audits of all deployments at Data Center and DR Site to identify the security gaps and improvement in current setup. Finding/ recommendations, if any, may be submitted SIDBI.

### SIDBI's Responsibilities

1. Providing necessary hardware, software, licenses and media.

2. Providing existing relevant SOP and policy documents.

## 4.4.9      Citrix Administration Services

### Service Provider's Responsibilities

10. Installation/ re-installation and Configuration of Citrix servers as per SIDBI guidelines including OS installation.

11. Installation and configuration of Citrix Products currently being used, or higher version or any other product acquired during the contract period.

12. Installation and/ or deployment of patches, upgrades, feature releases and service packs released by Citrix for Citrix products in use in SIDBI.

13. Configuring and making use of all the features which could ease the administration, enhance security and increase end-user productivity.

14. User management and defining of user policies using various management consoles.

15. Configuration and maintenance of citrix license server and backup license server.

16. Maintenance of licenses on-line at MyCitrix.com and advising SIDBI well in advance on the CSA (Citrix Subscription Advantage) renewal of different license as and when getting due (minimum 60 days in advance).

17. Resolving the Issues related to the following :

    a. Citrix Data Store, hosted at oracle database server.

    b. Terminal Services.

    c. Citrix/ MS Licensing issues.

    d. Resource manager database and reporting issues.

    e. Windows 2008/ 2012 OS related issues on Citrix Servers.

    f. Fine tuning of Citrix Server farm from time to time.

    g. Citrix Servers health checkup on regular basis and review of logs.

    h. Liaison with Citrix Systems India Pvt. Ltd. for any support requirements within the purview of CSA.

18. Implementation/ deployment of in-house or third party developed applications on Citrix servers and resolving the issues, if any, with the help of application teams and/ or third party vendors.

19. Configuration, publishing, optimization and load balancing of applications.

20. Resolution of citrix client related problems reported by remote users like issues related to connectivity, client reinstallation, printing, local drive mapping etc.

21. Maintenance, customization of Citrix Web Interface portal.

22. Installation, configuration and integration of the NetScalar with our existing Citrix Farm, Active Directory and other Web Servers as per bank's requirements.

23. Implementation of the Secured Socket Layer (SSL) Certificate in Access Gateway. The certificate will be provided by the bank.

24. Installation and Configuration of the Advances Access Control (AACO) software.

## SIDBI's Responsibilities

3. Providing necessary hardware, software, licenses and media.

4. Providing existing relevant SOP and policy documents.

## 4.4.10     Mail Management

Service Provider will provide management of the mailing system IBM Domino Notes R9 being currently used by SIDBI. However, if SIDBI decides to upgrade to higher version of IBM Notes or any other mailing solution or a mix of both during the contract period, service provider shall provide services for the new or upgraded mailing solution. Broadly the service shall include administration of mail servers, monitoring performance, management of user account, mail boxes, notes databases and address book, backup and archival management etc. at various SIDBI locations.

### Service Provider's Responsibilities

1. Installation and configuration of IBM Notes Servers at locations as decided by the bank from time to time.

2. Monitoring the mail routing and database replication.

3. Troubleshooting of connectivity related issue pertaining to IBM Notes Server.

4. Call Screening / logging / monitoring / escalation / resolution.

5. Problem related to disk quota.

6. Management of IBM Domino Cluster Server & synchronization with DR Site

7. Management of IBM Traveler & IBM Same Time Server

8. Management of Mail Journaling, Domino Attached & Object Storage (DAOS)

9. Setting up Disk, Mail Box & mail size quota. SIDBI to provide quota size information and approval.

10. Monitoring the effectiveness of Anti virus software installed on all the IBM Notes Domino servers and taking remedial actions in case of faults including taking up and follow up with the OEM/Support vendor.

11. Monitoring Mail traffic/ SMTP monitoring within SIDBI network.

12. Monitoring the flow of inbound/ outbound internet mails and follow up with third party vendor/ ISP to resolve issues, if any, pertaining to internet mails.

13. Assist Facility management team in Installation, Configuration of Notes Clients on end user devices viz. PC, laptop, Mobile, Tablets etc.

14. Provide known error data base and testing process.

15. Load monitoring with logs as per SIDBI guidelines.

16. Mail Administration and Security Policy Documentation. Detailed Security Policy for email services to be provided by SIDBI.

17. Documentation for mail server and client installation and configuration.

18. Analysis of problem and its resolutions related to IBM Notes R9 (or future versions) both at server as well as clients side.

19. Support and Administration of IBM Notes Services on Servers.

20. Installation / reinstallation / Migration, upgradation and configuration of IBM Notes Domino Server, SMTP and Relay client, Cluster Server on Windows / Linux

21. Internet mail integration (integration of mail with SIDBI's domain)

22. Management of Anti-Spam software / hardware.

23. Management & configuration of SMTP& Traveler server in Demilitarized (DM) Zone.

24. Installation / upgradation / support of IBM Notes clients on desktops.

25. Monitoring the health and availability of the IBM Notes services.

26. Maintenance of security and authentication of users.

27. Recertification of Expired id's.

28. Create, Delete & Modify users & groups. (With proper authorization)

29. Change management for any email or domain user request.

30. Backup and Recovery Management of Mail Servers and mail boxes as per bank's backup policy.

31. Policy implementation and management on server / client.

32. Sizing of mailboxes, maintenance of connection documents etc.

33. Troubleshooting problems related to IBM Notes and domain.

34. Escalations to third party vendor / OEM for product related problems and follow up for resolution.

35. Optimization of configuration of Mail Server over WAN.

36. Implementation of external Digital certificate and & integration with mail ID.

37. Creation/ Deletion/Renaming/Re-certification of Users & User ID management.

38. Transfer of user-id/mail boxes as and when a user is being moved from one location to another location.

39. Management of Anti-Virus Tool on mail gateway.

40. Verification for Cluster Server configuration/updation/synchronization.

41.   Periodic review and reporting of logs and corrective action.

### SIDBI's Responsibilities

1.   To provide all requisite software and license details.

2.   Request for user addition and deletion and request for change/ modification in privileges will be forwarded through proper channel.

3.   For E-mail messaging, File & print and all other server services, define and provide to Service Provider policy for :

    a.   size and age of mail boxesto be maintained, and

    b.   Mail routing schedules and priorities.

    c.   User Id creation.

    d.   E-mail policy and changes therein from time to time.

## 4.4.11   Anti- Virus (AV) Management

SIDBI is currently using Symantec Antivirus software installed on Servers and desktops across SIDBI. The deployment of AV software has been done using Hub-Spoke-Model with hubs at Mumbai, Lucknow and New Delhi offices. Mumbai office acts as the major hub from where the software upgrades and virus definition files are pushed to other hubs and nodes.

AV management service includes virus detection, eradication, logon administration, synchronization across servers / PCs / Laptops and support for required security classifications. The scope of services is applicable to all the nodes, all current and future versions of the AV software.

### Service Provider's Responsibilities

1.   Support for virus control and loading of antivirus patches/signatures as and when available.

2.   Installation / upgrade / support of Antivirus software clients on servers/desktops.

3.   Keep all the servers/desktops updated with latest virus definition on real time basis.

4.   Implementation policy of automatic updation of virus definition and patches.

5.   Based on criticality of the service for this requirement, service provider must act on proactive basis rather than act on reactive basis.

6.   Problem analysis and its resolution related to Antivirus.

7.  Periodic review and reporting of logs and corrective action.

8.  Register and update anti-virus tools periodically as per SIDBI's contract with the anti-virus tool vendor.

9.  Must scan storage media viz.Floppy disks, CD ROM, Network Drives, pen drive etc. automatically in real-time when accessed.

10. Must scan formats supported by antivirus software.

11. Diagnose and rectify any virus, spam, worm problems, which can be fixed by the anti-virus tool.

12. Provide feedback to SIDBI on any new viruses detected or possible virus attack and take up promptly with OEM/ Support vendor for getting the vaccine and carry out the timely vaccination.

13. Provide monthly proactive and reactive performance reports.

14. Guide/suggest SIDBI on the effectiveness of anti-virus management and alternate remedial action, if any.

15. Conduct regular Internal Audits to identify the best possible solution architect for SIDBI environment so as to use resources effectively & get the same implemented with the approval of SIDBI.

16. Prepare and update the Standard Operating Procedure (SOP) document on the A/v deployment architecture in SIDBI.

### SIDBI's Responsibilities

1.  To provide AV software, license and OEM/ Support vendor details

2.  Provide existing AV Management policy, if any.

3.  Provide existing SOP document on the AV deployment architecture.

## 4.4.12    Back Up / Restore Management

SIDBI has deployed Symantec's Veritas Netbackup Data Center 7.0, Enterprise Backup Solution (EBS) to take care of the backup requirements of the infrastructure (Servers, IBM Notes and databases) deployed in its Data Center at Mumbai office. The entire solution comprises of requisite number of licenses & agents, a master server (hosted on Sun Intel Server) and a SUN Storage Tek SL500 tape library with 04 FC drives. The EBS is supported by a well documented backup policy aligned with bank's business/ regulatory requirements.

The EBS is ready to support LAN Free backup and bank at any stage during the contract period may decided to enable LAN Free backup by procuring requisite licenses/ hardware.

SIDBI is having separate backup policies for its DR Site and remote offices. Backup Restore management at DR Site and remote offices will also come under the purview of this service.

Service Provider will perform backup and restore management in accordance with bank's policy and procedures for backup and restore, including performance of daily, weekly, monthly, quarterly and annual backup functions (full volume and incremental) for data and software maintained on the servers and storage systems using Enterprise Backup Solution.

## Service Provider's Responsibilities

1. Backup and restoration of Operating System, application, databases and file system etc. in accordance with defined process / procedure / policy.

2. Monitoring and enhancement of the performance of scheduled backups, schedule regular testing of backups and ensure adherence to related retention policies.

3. Ensuring prompt execution of on-demand backups& restoration of volumes, files and database applications whenever required by User Departments or in case of upgrades and configuration changes to the system.

4. Real-time monitoring, log maintenance and reporting of backup status on a regular basis. Prompt problem resolution in case of failures in the backup processes.

5. Media management including, but not limited to, tagging, cross-referencing, storing (both on-site and off-site), logging, testing, and vaulting in fire proof cabinets.

6. Installation, re-installation, upgrade and patch deployment of the EBS Software in the event of hardware/ Software failure, OS issues, release of new version or patches by the OEM etc.

7. Performance analysis of infrastructure and rework of backup schedule for optimum utilization.

8. Generation and publishing of backup reports periodically.

9. Re-cycling of off-site tapes from the Off-site backup location as identified by the bank. Currently the Off-site backup location is Andheri Branch Office at Mumbai.

10. Coordinate with the courier agency and the identified nodal officer at off-site location for sending/ receiving off-site tapes.

11. Coordination for maintaining inventory of offsite tapes (at Mumbai).

12. Tape/ LTO library management – loading and unloading tapes, etc.

13. Coordinating to retrieve off-site media for in the event of any disaster recovery.

14. Forecasting tape requirements for backup.

15. Ensuring failed backups are restarted and completed successfully within the backup cycle.

16. Periodic Restoration Testing of the Backup.

17. Interacting with Process Owners in developing / maintaining Backup & Restoration Policies / Procedures.

18. Guide/suggest SIDBI for improvement/optimization of the existing backup/restore policy.

19. Coordination with EBS hardware / software vendor for resolution of problems as per SLA.

20. Backup of local servers at DR Site and remote offices on external media viz. LTO, CDs, Hard disk etc.as per defined backup policies.

21. Maintain log of backup/ restoration.

22. Update/ Maintain Standard Operating Procedure (SOP) documents.

### SIDBI's Responsibilities

1. To provide requisite hardware, Software, licenses and OEM/ Support vendor details.

2. Provide existing backup policies pertaining to Data Center, DR Site and remote offices.

3. Provide existing SOP document on the Backup and Restoration Management.

## 4.4.13    Storage Administration and Management

### Service Provider's Responsibilities

1. Installation and configuration of the storage system at Data Center and DR Site.

2. Management of storage environment to maintain performance at desired optimum levels.

3. Development of storage management policy, configuration and management of disk array, storage virtualization, SAN fabric / switches, NAS, tape library, etc.

4. Configuration of SAN whenever a new application is hosted in the Data Center or at DR Site. This shall include activities such as management of storage space, volume,

RAIDconfiguration, LUN, zone, security, business continuity volumes, NAS,performance, etc.

5. Preparation of Standard Operating Procedure (SoP) document for the Storage Administration.

### SIDBI's Responsibilities

1. To provide requisite hardware, Software, licenses and OEM/ Support vendor details.

2. Provide existing storage management policies, if any, pertaining to Data Center, DR Site.

3. Provide necessary application architecture and deployment details as and when a new application is hosted.


## 4.4.14 Security Administration Services

### Service Provider's Responsibilities

The primary responsibility of the Information Security Administrator (ISA) is physical and electronic protection of data: access control, intrusion detection, virus protection, self audit, incident response, security engineering, development and implementation of security policies and procedures, monitoring of logs of network / security devices / servers etc.

The ISA has to carry out tasks related to security devices (current and proposed to be added by Bank) independently. However, for servers, network, AV etc has to coordinate with third party vendors/ service providers and various groups (such as Wintel, Unix Administrator, Citrix Administrator, Antivirus Administrator, Network Administrator etc) and ensure that all the devices are secured and entire SIDBI computing environment is protected.
The primary responsibility of ISA would be:

1. Write and implement the policies to govern an organization's network environment and the systems that are connected to it.

2. Protect the entire network from malicious entities such as hackers, viruses, spyware etc.

3. Ensure the security of traffic that passes through the network.

4. Identify threats and work to create steps to defend against them

5. Defend systems against unauthorized access, modification and/or destruction

6. Upgrade, diagnose, manage and maintain IDS/IPS, Firewalls, Web Gateway Security and other Security / Network equipment added time to time by the Bank.

7. Apply operating system updates, signatures, patches and make configuration changes to tighten security. For servers, network devices to coordinate with respective teams.

8. Implementation / management of various security solutions as and when procured by the Bank.

9. Analyze current security requirements and make suggestions for improvements based on Bank IT Security policy and Industry best practices.

10. Designing architecture, configuration and management of security for online applications and services hosted or proposed to be hosted by the Bank.

11. Coordination with vendor during installation of security solutions and coordination with various teams during hosting of online services.

12. Coordination with vendor during implementation of various security measures, which Bank proposes to implement during the period of this contract.

13. Hardening of network & security devices, various operating systems on servers etc. For network devices, servers and operating systems assisting the respective teams for carrying out the same.

14. Continuous monitoring of logs generated by various network / security devices and coordinating with other teams for monitoring of logs generated by other systems.

15. Find security gaps by performing routine audits of hardware and software entities on the network and closing those gaps.

16. Respond to security breaches or other security incidents and coordinate with respective OEM in case of a new threat is observed to ensure that workaround / patch is made available for the same.

17. Coordination with Information Security auditors during audit of systems.

18. One time Documentation of all the policies, security architecture etc across the systems and periodic review and upgrade.

19. Documents and provide upgrade to all information security policies and processes.

20. Maintain an inventory of security devices, servers, terminals and other access devices that are attached to the Network by coordinating with various teams.

21. Notify the responsible Information System Security Officer and the CISO of any suspected incidents in a timely manner, and investigation of incidents / blocking them.

22. Perform vulnerability and penetration tests across all network segments in coordination with third party auditors as and when Bank engages them.

23. Manage and implement all network security processes and maintain proper reports for same.

24. Ensuring that the security policy is maintained and updates to the same are made regularly as per ISO 27001, / BS 7799 and BS 15000, ISO 20000 guidelines.

25. Implementation of IT security policies as advised by SIDBI from time to time.

26. Advise SIDBI in improving network/ security to protect SIDBI's data / information from both internal and external persons/attack.

27. Maintenance and management of security devices, including, but not limited to maintaining firewall services to restrict network protocols and traffic, detecting intrusions or unauthorized access to networks, systems, services, applications or data, protecting email gateways, firewalls, servers, from viruses.

28. Resolution and restoration of services in case of any possible attack and necessary disaster management.

29. Alert / advise SIDBI about any possible attack / hacking of services, unauthorized access / attempt by internal or external persons etc.

30. Ensure that network equipment, servers and other computing devices are physically secure.

31. Coordination with consultant during ISO 27001 process for DC and DR.

32. Maintaining an updated knowledge base of all the published security vulnerabilities and virus threats for related software and microcode etc.

33. Configuration backup's for all security devices and time synchronization.

34. Implementing SSL, VPN, IPSEC etc.

35. Provide a well-designed access management system, security of physical and digital assets, data and network security, backup and recovery etc.

**SIDBI's Responsibilities**

a. To provide requisite Software, licenses and OEM/ Support vendor / Service providers/Escalation details.
b. To provide contact details of vendors.
c. To provide necessary approval to the Change requests.
d. To provide policy, SOP, hardening documents etc, if any.
e. To provide copy of IT Security policy and IT Security consultant report.

### 4.4.15    Internet and Web Gateway Security Management

1. **Internet**

   a. Monitoring of Internet links and co-ordination with ISP for restoration of failed link(s).

   b. Coordinating with Internet service provider for carrying out configuration changes as and when required by the Bank.

   c. Coordinating with Internet service provider for carrying out configuration changes, additional hardening etc as and when observed by various audits in the Bank.

   d. Implementation of Internet links in coordination with ISP as and when procured by the Bank.

   e. Periodic monitoring of internet links for bandwidth utilization.

   f. Coordination with service providers for hardening of routers.

   g. Maintenance of daily/weekly/monthly uptime report.

   h. Coordination with third party for management of external DNS entries.

2. **Link Load balancers**

   a. Configuration / re-installation / Management / Hardening of link load balancers. Need based Support of OEM / 3rd party vendor to be taken during installation/configuration.

   b. Creation of sub-domains on link load balancers.

   c. Co-ordination with ISP / third party for maintenance of DNS records.

   d. Setting up of QoS on link load balancers based on Bank requirement.

3. **Web Gateway Security (WGS)**

   a. Installation / re-installation / configuration / Hardening / management of Web Gateway Security (Proxy) appliance. Need based Support of OEM / 3rd party vendor to be taken during installation/configuration.

   b. Blocking / Un-blocking of - websites, Internet downloads, ports, content filtering etc., as per operational requirement.

   c. Creation / maintenance / documentation of policies on WGS as per SIDBI guidelines.

   d. Periodic review of policies on WGS.

   e. Monitoring of signature updates, disk space, CPU utilization, Memory utilization etc., of appliance. Also includes updation of signatures in the appliances.

   f. Configuration of WGS for forwarding the logs to log monitoring/collection tools.

   g. Uploading of configuration to secondary appliance as and when changes are carried out on primary appliance.

h. Periodic / critical reporting to SIDBI officials based on WGS activities / logs.

i. Generation of reports on daily basis for determining usage pattern i.e., top users, top websites visited, malwares detected etc and reporting to Bank.

### 4. Others (Common)

a. Backup, Up-gradation and restoration of OS / configuration / logs of the device.

b. Create/ update the Standard Operating Procedure (SOP), hardening, Internet access Policy document etc.

c. Implementation of various audit observations.

### SIDBI's Responsibilities

a. To provide requisite Software, licenses and OEM/ Support vendor's details.

b. Provide internet access policy and updates, DNS entries etct, if any.

c. Provide existing SOP document etc, if any.

## 4.4.16    Network Management Services

### Service Provider's Responsibilities

### 1. Monitoring

a. Monitoring of the main and backup/secondary Links and reporting

b. Monitoring of Bandwidth utilization, latency, packet loss etc.

c.  Monitoring of Traffic Pattern over WAN (utilization by users).

d. Periodically advising Bank for upgradation of bandwidth based on usage and utilization pattern of links.

e. Monitoring of L2 /L3 switches at all locations/offices.

f. Periodic monitoring of reachability of locations to DC and DR.

### 2. Fault Management

a. Call logging and co-ordination with MPLS VPN service providers for restoration of links and intimation to branches on the failure.

b. Co-ordination with MPLS VPN service providers for ensuring backup links are made operational in the event of failure of primary/secondary links.

c. Co-ordination with branches in the event of failure of links.

d. Call logging with the facility management service provider responsible for co-ordination for switches and LAN equipments at branches in the event of failure and issues, if any.

e. Co-ordination with MPLS Service provider for the replacement/up keep / maintenance of defective Networking Hardware/Software (Like Routers, modems, NT1 etc.) and escalation, if necessary.

f. Co-ordination with LAN cabling AMC vendor for cabling related issues at DC and DR.

3. **Configuration Management**

   a. Configuration of L2 and L3 switches for administration, VLAN creation, hardening etc.
   b. Hardening of routers (Banks own) and coordination with service provider for routers supplied by them.
   c. Installation & Upgrade of IOS on switches / routers (Banks own) as and when provided by SIDBI and coordination with service provider for equipment supplied by them.
   d. Changing configuration based on SIDBI requirement and intimation to MPLS VPN service provider for application of same on all routers.
   e. Co-ordination with MPLS VPN service providers during shifting of links / addition of links on account of shifting of premises and annexing of new locations.
   f. Configuration of routers/switches with syslog server / SIEM tool for log shipment.
   g. Configuration of switch port security (binding MAC address with port).

4. **NMS**

   a. Configuring the tool HPOV NNM as per the SIDBI requirement as and when informed by SIDBI

5. **Reporting**

   a. Maintenance of daily / Weekly and monthly uptime/downtime report.
   b. Verification of daily report with the fault ticket generated by the MPLS VPN Service provider.
   c. Collection of monthly uptime/downtime report from MPLS VPN service provider.
   d. Cross verification of monthly report from service provider with the one maintained locally and calculation of uptime / downtime.
   e. Periodic forwarding of uptime/downtime report to Bank CISO.
   f. Verification of invoices submitted by the service providers on quarterly basis.

6. **Others**

   a. Maintaining / Updating the WAN/LAN diagram at DC and DR and for other locations (in co-ordination with FM).
   b. Maintaining / updating inventory of network hardware along with interfaces, IP address, IOS version etc.
   c. Backup of configuration files as per backup policy of Bank and during any configuration changes etc.
   d. Labeling of all the cables, MUX, Patch Panels etc, at DC and DR.
   e. Re-arranging of network equipment in the same / different rack at DC and DR.

f. Co-ordination with vendor / OEM / Service provider during RMA.

g. Maintaining / Updating of SOP, hardening documents etc.

h. Coordinating with Service provider for providing compliance to observations from various audits and for Bank owned devices carrying out the same.

**SIDBI's Responsibilities**

a. To provide requisite Software, licenses and OEM/ Support vendor / Service providers/Escalation details.

b. To provide contact details of branches and vendors.

c. To provide necessary approval to the Change requests.

d. To provide policy, SOP, hardening documents etc, if any.

## 4.4.17    Patch Management Services

SIDBI has currently deployed Microsoft **Windows Server Update Services** (**WSUS**) for patch deployment on Wintel Servers and Desktop across SIDBI offices using hub-and-spoke model. Patches on UNIX Servers and other devices like security devices, secure gateway, Iron port etc. are done manually. Patch management is done centrally from IIMC, Mumbai office.

## Service Provider's Responsibilities

1. Install and test patches and updates in Test environment. Test environment to be provided by SIDBI. Wherever, test environment is not available, the patches need to be applied first in Development / UAT / DR environment and thereafter at production environment after approval from SIDBI.

2. Install / implement security measures / patches based on advisories received from Government agencies viz. DIT, IDRBT, NCIIPC, RBI etc.

3. Roll back if acceptance fails.

4. Take necessary approval from SIDBI for shutdown, if required, for patch or update implementation.

5. Raise Change Management for deployment of patches or updates.

6. Schedule shutdown of production system and inform users.

7. Implement patches as per approved deployment strategy.

8. Follow up and co-ordinate with OEM/ 3rd party support vendors for patch deployment on non-wintel devices.

9. Root Cause Analysis (RCA) for Security incidents.

10. Prepare and maintain Standard Operating Procedure (SOP) document pertaining to the service.

## SIDBI's Responsibilities

1. To provide requisite Software, licenses and OEM/ Support vendor details.

2. To provide necessary approval to the Change requests.

3. To provide policy and SOP documents, if any.

### 4.4.18    EMS Tools Management

As mentioned at **Section 3.6** above, SIDBI is using HP Open View suite of EMS tools for the effective management of its IT Infrastructure. The Service Provider would continue to make use of these tools for the Help Desk and management of other services as mentioned in the RfP.  An indicative list of responsibilities but not limited to, is given below.

## Service Provider's Responsibilities

1. Install, re-install and configure respective tools as per bank's requirements prescribed in this Rfp and any other requirement that arises during the course of the contract.

2. Upgrade / Updation / Implementation of any new version or patch released by the OEM vendor.

3. Service provider to ensure continuous efforts for innovative use of the EMS tools to ensure optimum effective utilization of these tools towards achieving business goals of the bank and thus justifying the ROI.

4. End-to-end management of the tools with respect to configuration, hardware, database or any other performance issues.

5. Configuration of any new device, service or office location added to the Infrastructure.

6. Maintenance of the underlying databases, application servers, OS or any other software

7. Maintenance of the Configuration and Management Database (CMDB).

8. Suggest SIDBI from time to time on the sizing requirements of the Servers, Databases and licenses so as to avoid performance issues, if any. However, SP will address the issue itself wherever same is under the scope of the project.

9. Customization of End-user interface and reports on an ongoing basis as per bank's requirements.

10. Service Provider needs to keep at least one resource on-site with requisite skill and experience to manage all the EMS tools after implementation on continuous basis. He must be involved from day-1 with all implementation activities and SP must arrange for suitable training for him as and when required.

11. In case of on-site team not being able to resolve any issue, Service provider shall take help from their back-end team or from OEM so as to resolve the issue within prescribed SLA.

12. Any other integration with either HP EMS tool components or SIDBI's other applications, if technically feasible, for better productivity.

## SIDBI's Responsibilities

1. To provide requisite Software, licenses and OEM/ Support vendor details.

2. To provide necessary approval to the Change requests.

3. To procure additional licenses, if required.

4. To renew software support (ATS) for respective tools/ databases with OEM wherever it is not under the scope of the Service Provider.

5. To upgrade the underlying hardware as per Service Provider's recommendations, wherever it is not under the scope of the Service Provider.

6. To provide policy and SOP documents, if any.


### 4.4.19    Disaster Recovery (DR) Site Management services

1. Currently SIDBI has a DR Site at its Chennai Office with necessary infrastructure in place to support Bank's DR Policy (DRP).  DR Policy is subject to periodic reviews and updates leading to infrastructure changes and updates.

2. Application servers are synchronized with DC Servers by applying the application releases / patches/ updates.

3. Databases are synchronized by sending and applying the archive logs using Oracle Data-guard (Hot Standby).

4. Periodic BCP testing / DR Live operations are conducted (presently half yearly) to re-assess the effectiveness of the DR site. DR Live operation involves the users of all offices carrying out their normal business operations from DR site for a specific period decided by SIDBI.

5. In the event of any disaster or for DR Live operations, Activation and de-activation of DR Site is the joint responsibility of DC and DR Teams. Both the teams are required to perform their roles and duties as prescribed in the DRP and other guidelines given by SIDBI from time to time.

## Service Provider's Responsibilities

### 1. Normal Operations

   a. Performing all the activities as mentioned under section 4.4. Statement of Work for DC operation will also be required to be performed for DR Site.

   b. Ensuring synchronization of database of DR site with that of production database at DC.

   c. Ensuring backup and restoration of Application and Database servers as per the bank's backup policy.

   d. Arranging for the compliance to the observations made during IT and other internal audits of the DR Site. Service provider shall suggest and recommend infrastructural requirement, if any to SIDBI for the purpose of giving audit compliance.

   e. Provide support for BCP testing and DR live operation.

### 2. Disaster Management

In case of disaster at Data Centre, following activities need to be performed at the DR Site till the Main Data Centre is recovered and operational.

   a. Coordination with the DR Team for the activation/ de-activation of the DR Site.

   b. Coordination with the FM Support teams/ ITV Nodal Officers at respective locations and Application support teams at ITV, Mumbai office to ensure that the users are able to access and perform operations from DR Site.

   c. Database Administration of DR Site databases. (Including activation of database at DR Site for operations).

   d. Citrix Farm and Active Directory administration.

   e. Middleware application tools administration.

   f. E-Mail Management

   g. Network Management and Security Monitoring.

h. If required, Service provider may be required to deploy additional resources at DR Site to provide necessary support till the restoration of primary site. Additional resource may be taken from the resource pool at primary site.

## SIDBI's Responsibilities

1. To provide requisite Software, licenses and OEM/ Support vendor details pertaining to DR Site.

2. To provide new/ upgrade the existing hardware to meet DR requirements of SIDBI from time to time.

3. Provide DR Policy, DR Site activation/ De-activation and other necessary guideline documents.

## 4.4.20    Annual Maintenance Contract (AMC) Services

1. AMC Services for various items like Intel Servers, Switches etc. at all SIDBI locations are required with effect from January 01, 2016. Office wise details of the items along with the effective date of start of AMC are given in Appendices I through V. Accordingly, while providing for the quarterly cost breakup of the services, AMC charges calculation would be done on pro-rata basis starting from the said date.

2. Any equipment coming out of warranty/ AMC with third party shall automatically come under AMC with the Service Provider. Therefore all such items must be taken into consideration for AMC calculation for the remaining period of the contract.

3. Service provider will be required to provide AMC for hardware items either directly or through the respective OEM vendor. The AMC renewal certificate is required to be submitted to Bank.

4. At any stage of the contract, SIDBI reserves the right to terminate the AMC for any of the item(s), with due prior notice to the service provider. Payment made in advance towards the AMC charges of the items being taken out of AMC shall be adjusted with the payment for the next quarter. Service provider shall raise invoices for all the subsequent quarters after deducting the AMC charges for the items taken out of AMC.

5. If 'End of Service Life' (as mutually agreed between SIDBI and the Service Provider) of an asset falls in between any quarter during contract period, Service Provider will intimate SIDBI at least 3 months in advance for replacement of the same. However Service provider shall continue to provide AMC and FMS for these items till SIDBI replaces with new items.

6.  AMC for the items listed in Appendices I through V is required from 'AMC From Date' to 'AMC To Date'. In case bank desires to have the AMC of these items beyond the 'AMC To Date', the bidders shall continue to provide the AMC services till the replacement of these items at the AMC rate applicable for the last quarter or average AMC rate applicable for last 4 quarters, whichever is less.

7.  If SIDBI acquires new IT asset(s) after the start of this contract and after the expiry of essential warranty period bank decides to go for the AMC of these items with service provider, rate for the same will be determined based on the unit rate already decided for the similar other item.

## Service Provider's Responsibilities

1.  The type of maintenance will be fully comprehensive on-site including repair / replacement of parts or full item in case not repairable with same or better configuration / technical specifications. Maintenance Services shall consists of preventive and breakdown maintenance of Servers and Network hardware etc. at all SIDBI locations.

2.  Quarterly Preventive Maintenance (PM) for all equipment under AMC.

3.  Fault identification and trouble shooting.

4.  Identify spares requirement for problem resolution

5.  Make sure that calls are attended and resolved as per agreed SLAs.

6.  Make sure that spares are made available at the earliest for hardware call resolution.

7.  Plan for standby equipment to be located at strategic locations to ensure that hardware downtime is minimal.

8.  Maintain requisite level of inventory of spares for the hardware items especially the servers under AMC at strategic locations.

9.  Proper recording of calls details, response and resolution details with sign-off (manual or electronic).

10. Reports for downtime, problem resolution and response details should be available to SIDBI.

### SIDBI's Responsibilities

1. Allow access to vendor's maintenance personnel or Service Provider of the hardware under AMC/ warranty at all SIDBI locations for the purposes of problem diagnosis and repair;

2. Provide hardware upgrades and replacements (which is not provided under warranty or maintenance agreement);

3. Provide contract details of all the 3rd party warranty/ AMC service providers.

## 4.5 Statement of Work – Application Services

SIDBI has engaged consultants for various new initiatives as defined in section 3.7 "Ongoing IT Projects - Summary". It envisages implementation of several components comprising business applications, support applications, business-efficiency enhancement tools, security components etc. In addition to the above, SIDBI also uses certain software products and in-house applications.

Users are presently supported for all these applications by the resources of existing service provider. Underlying technology tools also require regular maintenance, administration, tuning for improvement of performance etc.

### 4.5.1 Application Support Services

Presently, support services are required for the following applications.

| S.No. | Application Name | Use of the Application |
|-------|------------------|------------------------|
| **In-house Applications** | | |
| 1 | Direct Finance System (DFS) | Term loan management and accounting including Working Capital, bank Guarantee schemes and Non-treasury Investments. |
| 2 | Receivable Finance Systems (RFS) | Bill / Invoice discounting management and accounting. |
| 3 | Refinance Systems (all schemes) | Management and accounting of various Refinancing schemes to Banks/SFCs/SIDCs |
| 4 | Recovery and NPA Management System (RNMS) | Management of NPA accounts, Security management |
| 5 | Resource Management System (RMS) | Term deposits and priority sector deposits. |
| 6 | Management Information System (MIS) | MIS and Exposure monitoring system, Controllable Expenses Budget Entry, |

| S.No. | Application Name | Use of the Application |
|---|---|---|
| | | Compliance Monitoring System |
| | | High Value Transactions/ Exceptional Transactions Monitoring and Tracking |
| 7 | Common Administrative Payments (CAP & ADMPAY) | Staff administrative payments / Reimbursements/ Loans & Advances. |
| 8 | SSO | Single Sign-on linked applications accessed over Intranet. (Citrix based & Web based)& other application system requiring user authentication support viz RTUF. |
| 9 | Due Diligence software, | Managing IBA third party entity & IBA fraud list, Caution Advice & Willful defaulter list, CIBIL, Machinery Supplier Database System |
| 10 | Intranet Portal (All  portals) | Management of intranet portals and various support portals viz. SITI eLearning, Legal eLearning, Legal Cloud, Vigilance corner. |
| 11 | Customer Management | Customer complaint management software |
| 12 | Flexcube Interface, GL Reports | Flexcube Interface and GL Reporting |
| 13 | General Payment Processing System (GPPS) | Front-end voucher entry and inter-branch accounting, vendor payments |
| 14 | Payment and Collection System (PnC) | Payments, collection management and daily fund management |
| 15 | Fixed Asset Software / Centralized Depreciation System (CDS) | Dead stock management software |
| 16 | Board Agendas Management System (BAMS) | Tracking and management of Board agendas for directors |
| 17 | HVT/ET | High Value Transactions/ Exceptional Transactions Monitoring and Tracking |
| 18 | Credit Appraisal & Rating Tool (CART) | Application tracking, appraisal and rating. |
| **Outsourced / Off-the-shelf Applications** | | |
| 19 | Flexcube GL / CIF | General Ledger & Customer information file (CIF) |
| 20 | Biometric Authentication System -NEC | Dual authentication Maintenance outsourced |

A description of the envisaged scope under this category is enumerated as under.

1. DC/ DR team will ensure deploying patches for Applications (In-house / products) as advised by SIDBI team.

2. Tracking, Responding & Resolution of all the Support Request submitted by users of all SIDBI branches for the applications rolled out in production environment

3. Maintenance of all Support Request in 'Service Manger Help Desk or any other tool decided by SIDBI.

4. Providing telephonic Support to users of all SIDBI branches for all the applications.

5. Handholding / Training to users of all SIDBI branches by shadowing User session for all the applications.

6. Ensuring the Resolution of Support Request as per the timelines specified.

7. Meeting user requirements by providing data in structured format using queries provided by SIDBI.

8. Based on the nature of support request, service provider will be required to define SQL queries for resolution of data related issues and take approval from SIDBI for execution.

9. Coordinate and follow-up for resolution of all the Support Request with respective SIDBI – ITV Team, if required.

10. Monitoring, Coordination & Resolution of User Support / Day end related issues with Data Center Team

11. Update the knowledge-base based on experience of closure of each and every calls.

12. Performing Root cause Analysis – Functional

13. Coordination and follow-up with other support groups, as required.

14. Adherence of SLA for all the applications related issues.

15. Coordination with Level-3 support (respective application vendors or SIDBI's internal component owners) for resolution of all the calls.

16. Logging and tracking the calls with OEMs for support related to respective products, viz. 'Global Support Desk' of Oracle for Flex-cube related problems etc., in discussion with SIDBI ITV team.

17. Assisting the bank's team in terms of software audit and audit compliance for all these applications.

18. Creating repository for Issue logs, FAQs and other such artifacts for each of the applications.

19. Maintenance of MS Visual Source Safe software (SIDBI is using MS VSS) for version management of Source codes of the application.

20. Submission of issue log / summary of approved changes undertaken in support activities.

21. Maintain & submit report(s) for various application patches deployed on periodic basis as advised by SIDBI.

### Before starting the EoD (Flexcube)

1. To ensure that no users are logged onto any of the application software of SIDBI.

2. To coordinate with various users, through e-mail, messaging and telephone contacts to confirm the expected log out time from them.

3. To ensure that no unauthorized transactions / maintenance functions remain in the Flexcube software.

### Other general precautions

4. To ensure that no users log in during the EOD process by locking of session.

5. Unlocking the sessions / users after the EOD process is over.

6. If any authorized transactions / functions remain, getting them authorized by the respective offices, through timely co-ordination.

7. In case of difficulty in clearing the unauthorized transactions, to co-ordinate with the respective application group in ITV and request for appropriate escalation, as agreed with SIDBI.

8. Performance of all the steps in the Flexcube EOD process and logging them properly with appropriate comments / remarks, wherever necessary.

9. Checking of pending / failed vouchers at the interface level.

10. At every stage of the EOD process, proper checks and balances have to be carried out, before moving to the next stage.

11. The end users should not be forced logged out, in case he / she is working. Instead, the users may be called and find out if they have finished their work and they can be forced logout of the system.

12. The officer(s) on EOD duty need to come as per service window on all week days and also on holidays when other SIDBI offices are working. However, SIDBI reserves the right to change the timings, depending upon the requirements. An adequate advance written notices shall be given in this regard.

13. In exceptional circumstances and during Account closing periods, the time of the EOD process is bound to change, depending upon the exigencies.

14. Ensuring that the holiday marking and calendar maintenance in various offices of SIDBI are properly done. In case of requirement by any Branch, EoD support will be required to update the status of Calendar day.

15. To configure / reconfigure EOD stream at the time of addition of new branches.

16. In case of any database crash / unforeseen event during the EOD process, corrective action and restoration of data has to be ensured to avoid any loss of data by coordinating with the respective vendors and Bank officials involved.

17. Ensuring that the EOD process is complete well in advance, so as to facilitate SIDBI to carry out its business for the subsequent day.

18. In case of any technical difficulty, service provider will coordinate with respective OEM e.g. OFSS /HP FMS team etc. for necessary action and problem resolution.

19. To log the problem in OFSS web site, through the predefined procedure and follow-up for technical problem resolution.

20. In case of necessity to provide branch support to start the EOD, the duty officer will be required to co-ordinate with application support and provide solution.

21. At no point of time, the EOD process should be left unattended.

22. Manual EOD may be required to be performed during the day time for the branches lagging behind.

## 4.5.2    Closing Support

Following activities / support will be required during Quarterly, Half yearly & annual closing of the accounts:

1. During the closing periods, support will be required to be provided beyond office hours, weekends, holidays.

2. Scheduling & Generation of specific set of reports and deployment at Intranet.

3. Carrying out Mock End of year (EoY) operations for General Ledger in consultation with OEM.

4. Follow-up with branches / vertical(s) for Day-End of business application before proceeding with EoD for General Ledger.

### 4.5.3 Software Tool / Middleware Tools Management Services

Following software would be under the scope of management from end-to-end.

| Sr. No. | Product | Server / Instances # | OEM |
|---|---|---|---|
| 1 | IBM - WebSphere Portal Server (WPS) | THREE | IBM Corporation |
| 2 | IBM - WebSphere Application Server (WAS) | SIX | IBM Corporation |
| 3 | IBM - Tivoli Directory Services (TDS) | FIVE | IBM Corporation |
| 4 | IBM – MQ Series ( Server and Clients) | EIGHT | IBM Corporation |
| 5 | IBM DB2 Enterprise Server Edition (DB2) | FIVE | IBM Corporation |
| 6 | IBM HTTP Server (Web Server) | THREE | IBM Corporation |
| 7 | SAP Business Object Reporting - Business Object Software- management | THREE | SAP |
| 8 | Oracle Applications Server Oracle - Forms & Reports Server - For Flexcube | THREE | Oracle Corporation |
| 9 | Apache Tomcat  Application Server 6.0/7.0 | TWELVE | Open Source |
| 10 | Apache Web Server 2.2.23 | TWELVE | Open Source |
| 11 | Jboss Application Server 6.0 | THREE | Red Hat Support |
| 12 | Visual Source Safe 8.0 | ONE | Microsoft |
| 13 | Open Source - Moodle | | |
| 14 | SSL Deployment | - | - |

**#**Number of servers/instances may change depending on the business/infrastructure requirements.

1. Installation, Re-Installation, Configuration, Parameterization, Upgrade and Maintenance of software tools.

2. Identification, Coordination & Resolution of Performance related issues related to Hardware / Software tools.

3. Identification and Resolution of issues faced in Interface Layer of the applications.

4. Monitoring & Reporting of Interfaces (MQ, DB Layer)

5.  Coordination and Resolution of issues faced related to Integration / Interface of applications.

6.  Coordination with OEM vendor of products for resolution of any issue faced in production environment.

7.  Deployment of all the required patches for all the applications.

8.  Identification & Resolution of Performance Issues

9.  Tuning of the tools for effective and optimized performance of applications.

10. Patch deployment for all the products / applications as and when delivered by SI / OEM vendor / SIDBI Team.

11. As these tools management requires end-to-end support, Service Provider would be required to bring support from its back-end team in case on-site resources are not able to resolve the problem.

12. SSL Certificate Installation and configuration and renewal as per requirements in Web-Server.

13. DR continuity for Middleware including DR Synchronization.

14. Application Source Code version maintenance as per requirement from Component Owners

15. Daily monitoring of Middleware Instances using existing monitoring tool

16. ITIL Tools  - Change management , Incident Management, Problem Management and Knowledge Management for Middleware

> **All the above activities are required to be performed for Production Environment, UAT / Development Environment & Disaster Recovery Site.**

## 4.6      Miscellaneous Activities

### 4.6.1      Documentation and Reporting

Service provider shall be required to provide at least following documents at different phases during the contract period. If need be, service provider shall also update the existing documents like process documents, system/ user manuals etc. This is an indicative but not

exhaustive list of documents. Actual requirement will be spelt out during signing of contract or during the lifecycle of the projector Additional documents may also be required to be provided based on requirements during the lifecycle of the project.

### 4.6.1.1    Documentation

1. Project Management Plan.

2. Project Schedule.

3. Process documentation – updating the documents for current processes and preparation for the newly introduced processes, if any.

4. Service provider should maintain below mentioned document for each of the area of the data center i.e. WinTel, Unix, DBA, Middleware, EMS Tools, Network, IBM Notes etc.

   • Standard Operating Procedure (SOP)

   • Technical Architecture Manual (TAM)

   • Technical Operational Manual (TOM)

5. User requirements Document for newly introduced processes, if any. Existing documents shall have to be updated in case of requirements change.

6. Maintaining and Updating following documents on regular basis:

   a. EMS Tools Configuration document.

   b. Integration document.

   c. End-user guideline as per requirement.

   d. System Administration Manual.

   e. Other system documentation like ERD, data flow diagram etc.

### 4.6.1.2    Reports

Vendor shall configure &submit the reports on a regular basis in a mutually decided format. The following is only an indicative list of reports. Based on the requirement service provider will be required to configure & provide additional reports. Softcopy of these reports shall be delivered automatically via email / Dashboard at specific frequency and to the pre-decided list of recipients. Role based selection of reports, selection of name of the recipients of the reports, frequency of delivery must be parameterized /configurable in the EMS tool.

SP shall submit certain information as part of periodic review as and when required by the bank.

Following is the indicative list of reports:

1. **Daily reports (to be submitted on next working day)**

   ❖ Summary of issues / complaints logged at the Help Desk.

   ❖ Summary of resolved, unresolved and escalated issues / complaints.

   ❖ Summary of resolved, unresolved and escalated issues / complaints to OEMs/ vendors/SIDBI support teams.

   ❖ Log of backup and restoration undertaken.

   ❖ Mail traffic report – list of top users sending/ receiving highest number of mails.

2. **Weekly Reports (to be submitted on the first working day of the following week)**

   ❖ Issues / Complaints Analysis report for virus calls, call trend, call history etc.

   ❖ Summary of systems rebooted.

   ❖ Summary of issues / complaints logged with the OEMs.

   ❖ Summary of changes undertaken in the Data Centre including major changes like configuration changes, patch upgrades, database reorganization, storage reorganization, etc. and minor changes like log truncation, volume expansion, user creation, user password reset, etc.

3. **Monthly reports (to be submitted by 10th of the following month)**

   ❖ Component wise physical as well as IT infrastructure availability and resource utilization

   ❖ Summary of component wise Data Centre uptime.

   ❖ Summary of changes in the Data Centre.

   ❖ Log of preventive / scheduled maintenance undertaken

   ❖ Log of break-fix maintenance undertaken

   ❖ Configuration Management summary report.

   ❖ Change Management summary report.

   ❖ Release Management summary report.

   ❖ Capacity Management summary report of servers.

   ❖ Service Level Management – priority/ severity wise response and resolution.

   ❖ Service Failure Analysis, listing out escalations and downtime/ outages, if any.

- ❖ Account Dash Board, listing out:

- ❖ Planned activities carried out during the month.

- ❖ Unplanned activities carried out during the month.

- ❖ Activities planned but missed along with reasons.

- ❖ Challenges faced during the month.

- ❖ Service Operations, listing out:

- ❖ Helpdesk Management, listing out priority/ severity wise calls logged with comparison for past three months.

- ❖ Incident Management, giving category wise call details for critical service areas with comparison for past three months.

- ❖ Operational Activities

- ❖ Location wise Weekly visits done for off-site FMs and attendance of the on-site resource personnel.

- ❖ Service wise performance of activities as per scope of individual service areas.

- ❖ Service Improvement Plan, listing out:

- ❖ Concerns/ Escalations with action plan.

- ❖ Planned activities/ initiatives.

- ❖ Improvements planned, if any.

4. **Yearly Reports**

- ❖ CSAT survey report with sufficient analysis done on – Location wise feedback, overall satisfaction level and question wise satisfaction level, list of unsatisfied users, improvement plan to improve the overall satisfaction level.

5. **Incident Reporting (to be submitted within 48 hours of the incident)**

- ❖ Detection of security vulnerability with the available solutions / workarounds for fixing.

- ❖ Hacker attacks, Virus attacks, unauthorized access, security threats, etc. – with root cause analysis and plan to fix the problems.

- ❖ Software license violations.

## 4.7        Service Window

Following is the service window to be followed by the Service Provider.

| Service Area | Service Window | Time Period *<br>Shift – I | Time Period *<br>Shift – II |
|---|---|---|---|
| Program Management | 9 hrs x 5 days | 09:30 AM– 06:30 PM | |
| Data centre / DR site services / Middleware tools management/ E-Mail | 12 hrs x 5 days | 08:30 AM – 04:30 PM | 12:30 PM – 08:30 PM |
| | Week-end / National Holiday | * Needs based Skeleton support (Maintenance activity etc.) | |
| Application Support& Overall Help Desk | 10.5 hrs x 5 days | 09:30 AM – 05:30 PM | 12:00 AM – 08:00 PM |
| | Week-end / National Holiday | Need based Support (Minimum 1 Resource) | |
| EOD Support | 8 hrs x 6 days | 02:00 PM – 10:00 PM | |

* Time period is indicative and is subject to change. Staggered duty may be considered beyond normal office hours.

## 4.8        Staffing requirements

Bidders / Service provider may kindly note that the quality of staff deployed to manage the contracted services is of utmost importance to the Bank. It is needless to mention that bank will reserve the right not to accept any of the staff members deployed, if he/ she is not found up to the mark as per bank's expectations/ requirements. Vendor will be responsible for any delay in delivery on account of such non-acceptance of staff by SIDBI consequent upon deployment of inappropriate staff/personnel.

Following points may be noted by the bidder in connection with plan of staffing in this project:

### 4.8.1        Skill-set / Qualification / Experience

❖ Minimum desired educational qualifications and the experience/ skill-set possessed by resources is given below.

❖ The bidder to ensure that deployed resources should work as a team & interact in cohesive environment to resolve potential conflicts and implement positive changes.

| Srl. No. | Resource Details | Minimum Educational Qualifications | Experience & Skill Set |
|---|---|---|---|
| **Infrastructure Support Services** | | | |

| Srl. No. | Resource Details | Minimum Educational Qualifications | Experience & Skill Set |
|---|---|---|---|
| 1 | Project Manager | o B.E./ B.Tech./ M.C.A.from a recognized institute/ university<br>o **Mandatory** :Certification of 'ITIL Foundation – 2013' or above | o Minimum 3 years, out of which 2 years in handling similar IT Infrastructure management projects in an Enterprise environment.<br>o 2 years on ITIL framework based project management.<br>o Experience of managing IT infrastructure using ITIL tools.<br>o **Must be on the rolls of the service provider since at least of 6 months prior to posting at SIDBI.** |
| 2 | Database Administrator (DBA) | o B.E./ B.Tech./ M.C.A.from a recognized institute/ university<br>o **OR** 3 Years Diploma / degree in Computer science / application from a recognized institute.<br>o **Mandatory:** Oracle Certified Professional (OCP) certification is a must. | o Minimum 3 years, out of which 2 years should be working as a core Database Administrator (DBA) in an Enterprise environment.<br>o Should have worked on Oracle 10g or above deployed in Windows, Linux and Unix platforms.<br>o Should have good knowledge of TOAD, OEM, STATSPACK, RMAN, RAC, Dataguard, SQLPlus and HP UNIX . |
| 3 | Unix & Linux administrator | o B.E./ B.Tech./ M.C.A.from a recognized institute/ university<br>o **OR** 3 Years Diploma / degree in Computer science / application from a recognized institute.<br>o **Mandatory** : Certification in UNIX administration, preferably HP-UNIX or Linux. | o Minimum 3 years, out of which 2 years should be working as a core UNIX (HP UNIX, Linux) Administrator in an Enterprise environment.<br>o Should have good understanding of storage environments (SAN, NAS etc.), Veritas Netbackup, System backup, installation & configuration, tuning, HP –UNIX / Linux shell scripting and networking. |
| **Wintel Group:** Deployed resource should have mix of skill set in following areas:<br>o Server (Wintel) Administration,<br>o Citrix Administration,<br>o Antivirus and Backup-Recovery Manager ||||
| 4 | Server (Wintel) Administration | o B.E./ B.Tech./ M.C.A.from a recognized institute/ university<br>o **OR** 3 Years Diploma / degree in Computer science / application from a recognized institute.<br>o **Mandatory** : MCSE (Microsoft Certified Software Engineer) Certification. | o Minimum 3 years, out of which 2 year should be working as a core Wintel Server Administrator in an Enterprise environment.<br>o Should be able to handle desktop/servers installations in Client/Server Architecture (**Active Directory**)<br>o Should be able to configure and install Intel servers, maintain the Change Management Process for any change in server configurations, |

| Srl. No. | Resource Details | Minimum Educational Qualifications | Experience & Skill Set |
|---|---|---|---|
| | | | o perform regular antivirus monitoring, patch management using WSUS and Enterprise backup management using automated solution. |
| | | | o Should be well versed with Server Virtualization,DHCP, DNS, WINS, SMTP, POP3, RAS and VPN, etc. |
| 5 | Citrix Administrator | o B.E./ B.Tech./ M.C.A.from a recognized institute/ university<br>o **OR** 3 Years Diploma / degree in Computer science / application from a recognized institute.<br>o **Mandatory** : Citrix Certified Administrator (CCA) for Citrix XenApp 4.0 or above. | o Minimum 3 years, out of which 2 year should be working as a core Citrix Administrator in an Enterprise environment.<br>o Should have good working knowledge of installing, configuring and managing a Citrix Server Farm with around 10 servers and 300 user licenses.<br>o Experience on essential Citrix components like Web Interface, License server, Citrix Netscalar, Secure Ticketing Authority, Citrix XenServer Enterprise edition, strong communication skills.<br>o Experience in working on environments that are delivered across a WAN - crossing VPNs, Routers, Firewalls.<br>o Experience in Networking, Windows. |
| 6 | Antivirus and Backup-Recovery Manager | o B.E./ B.Tech./ M.C.A.from a recognized institute/ university<br>o **OR** 3 Years Diploma / degree in Computer science / application from a recognized institute.<br>o **Mandatory** : Certified Symantec Netback Administrator for Netbackup 5.0 or above. | o Minimum 3 years, out of which 2 year should be working as a System Administrator handling Antivirus patch and backup-recovery management in an Enterprise environment.<br>o Should be able to install, configure and manage Antivirus Servers (Symantec), Symantec Veritas Netbackup (currently 7.0) media server.<br>o Should be able to manage backup and recovery process as defined by the bank, define and modify backup policies, tape movement to/ from off-site backup locations, co-ordinate with remote offices to ensure backp and recovery as per policies. |
| 7 | Network Management | o B.E./ B.Tech./ M.C.A.from a recognized institute/ university<br>o **OR** 3 Years Diploma / degree | o Should be working as a core Network Administrator in an Enterprise environment. The required experience in network management is given below: |

| Srl. No. | Resource Details | Minimum Educational Qualifications | Experience & Skill Set |
|---|---|---|---|
| | | in Computer science / application from a recognized institute.<br><br>○ **Mandatory :**<br>Level 1 - CCNA<br>Level 2 – CCNP | ➢ L2- Minimum 3 years, out of which 2 years relevant experience<br><br>➢ L1 – Minimum 2 years, out of which 1 year relevant experience<br><br>○ Should have worked on routing and switching (Cisco), VPN etc.<br><br>○ Good understanding of Network Architecture, VLAN, dynamic routing protocols, MPLS, VPN, IPSec, load balancers, DNS etc. |
| 8 | Security Manager | ○ B.E./ B.Tech./ M.C.A.from a recognized institute/ university<br>○ **OR** 3 Years Diploma / degree in Computer science / application from a recognized institute.<br>○ **Mandatory :** Level 2 –CISSP | ○ Minimum 3 years, out of which 2 year should be working as a core security Administrator in an Enterprise environment.<br><br>○ Should have worked on firewalls, NIPS etc.<br><br>○ Good understanding in designing Security Architecture, security policies / guidelines, Log analysis etc |
| 9 | Lotus Notes Mail Administrator / Developer | ○ B.E./ B.Tech./ M.C.A.from a recognized institute/ university<br>○ **OR** 3 Years Diploma / degree in Computer science / application from a recognized institute.<br>○ **Mandatory:** Certified Lotus Domino Administrator for Domino 7 or above. | ○ Minimum 3 years, out of which 2 year should be working as a core IBM Domino Administrator on Domino 9 or higher in an Enterprise environment.<br><br>○ Should be able to install, configure and manage Domino servers, manage notes & non-notes clients, clustering of domino servers, write/ configure mail routing rules as per business rules, database replication across domino servers.<br><br>○ L1 resource should have minimum 1 years of IBM Domino Notes development experience. |
| 10 | EMS tools Administrator | ○ B.E./ B.Tech./ M.C.A.from a recognized institute/ university<br>○ **OR** 3 Years Diploma / degree in Computer science / application from a recognized institute. | ○ Minimum 3 years, out of which 2 year should be working as a core EMS tools Administrator in an Enterprise environment.<br><br>○ Should have experience of at least one enterprise level of implementation of EMS tools. |
| 11 | Application | ○ B.E./ B.Tech./ M.C.A.from a | ○ Team member(s) deployed for |

| Srl. No. | Resource Details | Minimum Educational Qualifications | Experience & Skill Set |
|---|---|---|---|
| | Software tools management | recognized institute/ university <br>○ **OR** 3 Years Diploma / degree in Computer science / application from a recognized institute. | extending tool Support should have minimum 2 year(s) of experience in Installation, Configuration, Administration, Troubleshooting etc. on the respective software tools as mentioned in the table above. |
| **Application Support Services** | | | |
| 12 | Application Support / EOD Support | ○ Graduate in any discipline from a recognized university. <br>○ OR 3 Years Diploma in Computer science / application from a recognized institute. <br>○ Good domain knowledge in banking | ○ Support Team member(s) deployed for extending User Support should have minimum 2 years of experience for providing user support for banking applications including core banking applications. <br>○ SQL – Query writing / executing |

## 4.8.2    Experience Level

Experience level of the staff members may be referred as follows:

| Level of Experience | Total Minimum Experience | Minimum relevant Experience in the Core Domain Area |
|---|---|---|
| L1 | 2 Years | 1 Years |
| L2 | 3 Years | 2 Years |
| L3 | 5 Years | 3 Years |

## 4.8.3    Minimum requirement of on-site Resources

Service provider shall deploy minimum number of on-site resource personnel as indicated below at IIMC, Mumbai and DR site, Chennai. However, with a view to achieve desired SLAs for respective services, bidders may plan and propose additional resources at various service verticals.

The Service Provider must look for right mix of experienced skill-set to optimize the number of resources and thereby help SIDBI in controlling overhead expenditure on account of infrastructure and similar other factors.

| Service Area | Location | Purpose | Minimum Resources Required | Minimum Level of Experience |
|---|---|---|---|---|
| Project Manager | Mumbai Office | Project Manager | 1 | L2 |
| Data Centre | Mumbai | DBA | 2 | L2 |
| | | Unix Administrator | 1 | L2 |
| | | Network monitoring. | 2 | L2 – 01 L1 – 01 |
| | | Network Security Management | 1 | L2 |
| | | **WinTel Group** | | |
| | | Wintel Administration | 3 | L2 – 2 L1 – 1 |
| | | Citrix Administration | | |
| | | Backup & Recovery, Antivirus, Patch & Storage management | | |
| | | Mail management | 2 | L2 – 1 L1 – 1 |
| | | EMS Tool Administration | 1 | L2 |
| | | Application Software tools management | 2 | L2 – 2 |
| DR Site | Chennai | Unix Administrator | 1 | L1 |
| | | Wintel Administration | 1 | L1 |
| | | Network Management & Security | 1 | L1 |
| Application Support Management | Mumbai | Application Support | 5 | L2 – 3 L1 –2 |
| | | EOD Support | 1 | L1 |

- Bidders may make its own assessment on the level and number of resources beyond minimum level as per its service delivery management.

- For manpower consideration the employee (L2 & above) should be on the payroll of the Bidding Company for at least 6 months. For this, the selected bidder is required to submit proof in the form of employment letter duly accepted by the employee or suitable declaration jointly signed by the Employer and Employee stating the date of joining on the Bidding Company's letter head should be submitted.

- For manpower consideration, L1 resources may be subcontracted from third party however the responsibility to manage the resource and deliver the services as per SLA will rest with service provider.

The Bidder may please note the following in connection with resource deployment.

❖ A resource shall be considered absent if allowed leave of absence has already been availed for the month and no standby resource has been arranged by the service provider.

❖ In addition to the service window indicated as against each service vertical, depending on the bank's requirements the services may be occasionally required on bank holidays /Sundays/ Gazetted Holidays and beyond the specified service window . Provision must be built by the bidder to provide these occasional services without any additional cost.

❖ In view of criticality of DBA job, vendor will be required to identify standby DBA who will come to SIDBI as and when DBA is absent.

❖ Bank will like to have prior discussion with the staff members, being posted for the job by the service provider, to find out their suitability for the job and decide to accept his/her services.

❖ Necessary stand-by arrangement has to be made during absence of any regular staff on account of leave or any other reason.

❖ Whenever required, standby resources with similar profile should be arranged from separate pool i.e. the standby resource should not be taken from the pool of resources already deployed at SIDBI.

❖ Frequent change of staff will not be acceptable. In case of unavoidable circumstances, change of staff must be done in consultation of SIDBI.

❖ Service provider and all the deployed staff members will be required to sign the declaration form as per bank's IT security policy or any other similar guideline.

❖ In case of disaster at bank's Mumbai data centre, service provider will move /provide key staff members at SIDBI's DR site (currently Chennai) to manage the DR operation on temporary basis till the data centre at Mumbai is made operational. However SIDBI will bear expenditure on actual towards to & fro journey of the key staff members of the service provider for the said purpose and also make stay arrangement at bank's guest house or similar other location for them.

❖ Staff members deployed by service provider will be subjected to the disciplines, office decorum, etiquettes, good behaviour as applicable to any other staff member of the bank.

❖ Deployed staff members have to make their own arrangement of transport in case of night shift or late sitting in the office.

❖ Staff members deployed by the service provider have to make their own arrangement of lunch/snacks/breakfast etc. Alternately, same facility may be availed at bank's lounge at a cost, as charged by the caterer.  The decision of the Bank in this regard shall be final.

❖ The bidder shall submit complete details of Personnel to be deployed at SIDBI. The bidder shall carryout due-diligence, background verification and submit referral check including Police verification for all their personnel deployed at SIDBI. SIDBI reserves the right to accept/reject the proposed personnel.

❖ In case of services of an existing staff are withdrawn / terminated by the service provider, at least one month has to be given by the vendor with at least 15 days overlapping period for proper take-over /hand over of the desk. Any short fall in notice period will be treated as absence by the respective staff member.

### 4.8.4 Staff deployed by the service provider shall never be deemed to be appointed by the bank not shall they be under its service conditions.

### 4.8.5 Statutory & Regulatory Compliance

The bidder should ensure all statutory and regulatory compliance towards :

❖ **ESIC & EPFO** – All bidders have to ensure that the resources deployed at SIDBI sites are compliant as per the guidelines of ESIC & EPFO. Please note that these are Government bodies, compliance to which is Mandatory.

❖ **Minimum Wages Act** – The bidder also has to ensure that they are compliant to the Minimum Wages Act for deployment of resources across SIDBI sites nationwide. The bidder should follow all payout norms as per the MWA in all the states.

❖ Any other Act/Statutory and regulatory compliances as applicable.

<center>❈  ❈  ❈  ❈  ❈  ❈</center>

# 5. Service Level Requirement and Penalty

## 5.1 Statement of Intent

The aim of this agreement is to provide a basis for close co-operation between SIDBI and the Successful Bidder, for support services to be provided to SIDBI, thereby ensuring that timely and efficient support services are available to SIDBI end-users. The objectives of this agreement are detailed below in Section 5.2.

This agreement is contingent upon each party knowing and fulfilling their responsibilities and generating an environment conducive to the achievement and maintenance of targeted service levels.

## 5.2 Objectives of Service Level Agreements

1. To create an environment which is conducive to a co-operative relationship between the bidder and SIDBI to ensure the effective support of end users.

2. To document the responsibilities of all parties taking part in the Agreement.

3. To ensure that the SIDBI achieves the provision of a high quality of service for end users with the full support of the bidder.

4. To define the commencement of the agreement, its initial term and the provision for reviews.

5. To define in detail the service to be delivered by the bidder and the level of service which can be expected by SIDBI, thereby reducing the risk of misunderstandings.

6. To institute a formal system of objective service level monitoring ensuring that reviews of the agreement is based on factual data.

7. To provide a common understanding of service requirements/capabilities and of the principle involved in the measurement of service levels.

8. To provide for all parties to the Service Level Agreement a single, easily referenced document which caters for all objectives as listed above.

## 5.3 Period of Agreement

This agreement will commence on the date specified in the **'Managed Service Agreement'** to be signed between SIDBI and the Service Provider following the completion of selection process and will continue until end of the contract period or terminated whichever is earlier.

## 5.4        Representatives

SIDBI and the Service provider will nominate the representatives responsible for the monitoring and maintenance of the service agreement

## 5.5        Management of SLA

Service Level requirements will be necessarily managed by the Service Provider using the existing **HP Service Manager Software (SM 7)**. Service provider will make this information available to authorised SIDBI personnel through on-line browsing and also through hard copy of the report as per requirement.

Service provider will also configure and maintain SLA for 3rd party vendors/ service providers using the same tools.

Compliance of SLA with the service provider will be measured monthly as per details given below. Service window mentioned here refers to '**Hours per day' X 'Days per week'**.

## 5.6        Service Level Monitoring

The success of service level agreements depends fundamentally on the ability to measure performance comprehensively and accurately so that credible and reliable information can be provided to customers and support areas on the service provided.

Service factors must be meaningful, measurable and monitored constantly.

Service level monitoring will be performed by *the Service provider.* Reports will be produced as and when required and forwarded to SIDBI.

Service level monitoring and reporting is performed on response times for faults as defined at following sections.

### 5.6.1      Managed Services

Managed Services would include all service under following heads:

- ❖ Data Centre / Disaster Recovery services
- ❖ Application Support services / EOD services

## 5.6.2 Service Level definition

Depending on the criticality and severity of calls, service levels are defined as follows :

| Severity Level | Severity Type | Definition |
|---|---|---|
| **S1** | Critical Problems | A problem that affects **entire bank / network or > 80% of the users** of the bank e.g. Outage of Data Center Services viz. Server, Application(s), Internet, Mail System , Database, Severe Virus attack etc. |
| **S2** | Major Problems | A problem that affects **a particular office**. e.g. Failure of Network Connectivity, Virus on many devices,  Local File/Mail Server. |
| **S3** | Moderate Problems | A problem that affects a **typical user group** e.g. Failure of a department or a floor, an application meant for a particular department or user group etc. |
| **S4** | Minor Problem | A problem that affects **a particular user** |

## 5.6.3 Service Level Targets

Following table defines Service Level Targets for Response and Resolution time.

| Severity Level | Response Time | Resolution Time | Calculation Window |
|---|---|---|---|
| S4 | 60 min | 2 hrs | |
| S3 | 30 min | 2 hrs | Monthly |
| S2 | 15 min | 2 hrs | |
| **S1** | **15 min** | **1 hrs** | |

## 5.6.4 Service Level Compliance

The Service Provider needs to ensure following compliance level for each of the Service Levels.

| Severity Level | Required Compliance Level | | | |
|---|---|---|---|---|
| | Quarter-1 | | Quarter-2 onwards | |
| | Response time | Resolution time | Response time | Resolution time |
| S1 | 96% | 97% | 97% | 98% |
| S2 | 94% | 96% | 96% | 97% |
| S3 | 93% | 95% | 94% | 96% |
| S4 | 93% | 95% | 94% | 96% |

## 5.6.5 Measurement Metrics

Actual Response and Resolution time will be measured as follows:

$$\text{Response time (\%)} = \frac{\text{Calls attended within stipulated response time}}{\text{Total number of calls received in the month}} \times 100$$

$$\text{Resolution time (\%)} = \frac{\text{Calls closed within stipulated resolution time}}{\text{Total number of calls received in the month}} \times 100$$

### 5.6.5.1 Penalty Calculation

1. Actual vs targeted compliance level for each of the respective service areas will be measured separately in every month.

2. Shortfall in achieving SLA compliance, if any, will be calculated on the monthly basis.

3. For Penalty calculation, Monthly cost of services will be arrived based on proportionate monthly of the corresponding quarterly cost.

   Monthly cost = (Total services Cost for respective service area for the quarter) / 3

4. Penalty for the month will be calculated as:

   Penalty amount = Penalty (%) X Monthly Cost

5. Applicable Penalty (%) would be as under:

| Shortfall in SLA Target/Compliance by | Penalty (%) |
|---|---|
| <= 1 % | 1 |
| > 1% and <= 3 % | 3 |
| > 3% and <= 5 % | 5 |
| > 5% and <= 6 % | 6 |
| > 6% and <= 8 % | 8 |
| > 8% | 10 |

6. However, the aggregate penalties that may be levied in a month towards the aforesaid managed services shall be limited to 10% of the monthly cost of the Managed Services.

7. Downtime of services on holidays or scheduled downtime will not be considered for calculation of compliance level and penalty.

8. Service provider will make all these information available using 'HP Service Manager software being currently used by SIDBI.

9. The SLA for Application Support Services, EOD Services and Application Software Tools Management shall be applicable w.e.f. February 01, 2016. However, the Service

Provider shall start extending these services along with other services as per SOW w.e.f. January 01, 2016.

### 5.6.6  AMC Services

Service level monitoring of all the AMC services would be subject to the Service Levels defined below:

#### 5.6.6.1  Service Level Definition and Compliance

| Hardware Type | Resolution Time | Compliance Level | Calculation Window |
|---|---|---|---|
| Intel Servers (Windows/ Linux), Core Router, Switch (L2, L3) | 6 hrs CTR (Call-to-resolution) | 97% | Monthly |

**Note:** Standby of similar or higher configuration item will be deemed as call closure

#### 5.6.6.2  Measurement Metrics

Actual Response and Resolution time will be measured as follows:

$$\textbf{Performance (\%)} = \frac{\text{Calls closed within stipulated resolution time}}{\text{Total number of calls received in the month}} \text{ X } 100$$

#### 5.6.6.3  Penalty Clauses for AMC Services

1.  Compliance level towards AMC will be measured monthly.

2.  Monthly shortfall in SLA, if any, for the respective category shall be aggregated for the quarter.

3.  Penalty for the quarter will be calculated as : Penalty (%) x AMC Cost for the Quarter.

4.  Applicable  Penalty (%) would be as under:

| Shortfall in SLA Target/Compliance by | Penalty (%) |
|---|---|
| <= 1 % | 1 |
| > 1% and <= 3 % | 3 |
| > 3% and <= 5 % | 5 |
| > 5% and <= 6 % | 6 |
| > 6% and <= 8 % | 8 |
| > 8% | 10 |

5. Penalty towards AMC will be limited to the maximum 10% of the quarterly amount payable towards AMC services. This will be in addition to the penalty charges levied for services mentioned in section of 'Managed Services' above.

6. Downtime on holidays or scheduled downtime will not be considered for calculation of uptime and penalty.

7. Service provider will make all these information available using the specific SLA tool being used by SIDBI.

### 5.6.7    Human Resources

Although this project is SLA based, the bidder is required to propose and maintain a minimum level of resources in each of the service area throughout the contract period. The service provider shall deploy manpower resources as per staffing requirement prescribed in this document. Service provider shall ensure the availability of resources as per defined Service Window for each resource category.

Monthly applicable penalties in the event of default of respective manpower resources would be as under:

1. **Leave of absence**: Each on-site resource shall be granted a maximum up to 01 (One) day leave per month.

2. Any absence beyond the prescribed leave of absence shall attract a penalty as under in case no substitute is arranged by the Service Provider as per defined requirement :

| Resource Category | Allowed leave of absence per month | Penalty beyond leave of absence |
|---|---|---|
| Program Manager | 01 day | • Rs.3000/- per day, maximum Rs.15,000/- per month |
| Data Center Resources | 01 day | • L2 Resource - Rs.2,000/- per day maximum Rs.10,000/- per month.<br>• L1 Resource - Rs.1500/- per day maximum Rs. 7,500/- per month. |
| Application Support Resources | 01 day | • L2 Resource - Rs.2,000/- per day maximum Rs.10,000/- per month.<br>• L1 Resource - Rs.1500/- per day maximum Rs. 7,500/- per month. |
| Help Desk (Infrastructure & application) and Remote Managers at IIMC | 01 day | • Rs.1000/- per resource per day, maximum Rs.5,000/- per resource per month. |
| On-site facility | 01 day | • Rs.1000/- per resource per day, |

| Resource Category | Allowed leave of absence per month | Penalty beyond leave of absence |
|---|---|---|
| managers | | maximum Rs.5,000/- per resource per month. |

## 5.7    Disclaimer

In case service provider fails to achieve compliance level of services successively in two quarters or any three quarters in a financial year, SIDBI will reserve the right to re-look at the contract and redefine Service level requirement and penalty clauses to safeguard its interest.

❈    ❈    ❈    ❈    ❈    ❈

# 6.    Terms and Conditions

## 6.1    General

1. The Bidders are expected to examine all instructions, forms, terms and specifications in the bidding documents.  Failure to furnish all information required by the bidding documents may result in the rejection of its bid and will be at the bidder's own risk.

2. Information provided in this RfP is organized in several sections to bring clarity and help the reader to understand quickly. However, Bidder must take into consideration each and every line of this RfP document as a whole while responding. Bidder must get the doubts, if any, clarified by SIDBI before submitting the responses. The bids submitted should be complete in all respect meeting all deliverables under the project. It will be sole responsibility of the selected bidder to deliver each and everything as per the scope of the project during the contracted period. SIDBI shall not be responsible in case of bidder's failure to notice any information, any requirement is underestimated, not understood or any requirement is not interpreted in right direction during preparation/submitting the response.

3. Unless expressly overridden by the specific agreement to be entered into between the Bank and the successful Bidder, the RFP shall be the governing document for arrangement between the Bank and the Bidders.

4. At any time prior to the deadline for submission of Bids SIDBI may, for any reason, whether at its own initiative or in response to a clarification requested by prospective Bidder(s), modify the RfP by amendment and same will be placed on the bank's website for information of all prospective Bidders.

5. All such amendment shall become part of the RfP and same will be notified on bank's website. The Bidders are required to have a watch on bank's website for any such amendment till the last moment before submitting the bid.

6. SIDBI shall be under no obligation to accept the lowest or any other offer received in response to this RfP and shall be entitled to reject any or all offers including those received late or incomplete offers without assigning any reason whatsoever.  SIDBI reserves the right to make any changes in the terms and conditions of purchase.  SIDBI

will not be obliged to meet and have discussions with any Bidder, and / or to respond to any representations.

7.  SIDBI reserves the right to extend the dates for submission of responses to this document with intimation on the bank's website.

8.  Unless agreed to specifically by the Bank in writing for any changes to the RFP issued, the Bidders' responses would not be incorporated automatically in the RFP document.

9.  SIDBI reserves the right to change the required specifications and ask for the revised bids or cancel the process without assigning any reasons.

10. The scope of the proposal shall be on the basis of single point responsibility, completely covering the products and services specified under this RfP, on end-to-end solution basis.

11. Bidder must be ready to accept the extension of the contract by a further period of maximum 06 (six) months on the same terms and conditions, if so desired by SIDBI.

12. The Bidder shall promptly notify SIDBI of any event or conditions, which might delay the completion of implementation work in accordance with the approved schedule and the steps being taken to remedy such a situation.

13. Depending on requirement, SIDBI may decide to move any of the branches, Data Centre, Disaster Recovery Site, hardware items to any of its other / third party locations during the contract period. Service provider will continue to provide the respective services covered under this RfP at the new location without any extra cost.

14. Bidder should guarantee that the software and allied components used to service SIDBI are licensed and legal. All software must be supplied with their original and complete printed /soft copy of the documentation.

15. The Bidder/Service provider is obliged to give sufficient support to SIDBI's staff, work closely with SIDBI's staff, act within its own authority, and abide by directives issued by SIDBI in terms of the Contract. The Service provider is responsible for managing the activities of its personnel and any sub-contracted personnel, and will be responsible for any misdemeanors.

16. The Bidder appointed under the RFP shall have the responsibility for fulfilling all obligations and providing all deliverables and services required for successful implementation of the Project, notwithstanding the fact that the Bidder may after

procuring written consent of the Bank, appoint / procure services of third party suppliers (including software Bidders) to perform all or part of the obligations contained under this RFP, notwithstanding the fact that the Bank, if it deems fit, may for convenience enter into arrangements, including tripartite agreements, with such third party Bidders if required.

17. The Service provider's selection under this RfP document is on the understanding that this RfP contains only the broad provisions for the entire assignment. The Service provider shall be required to undertake to perform all such tasks, render requisite services and make available such resources on-site as may be required for/ incidental to the successful completion of the entire assignment.

18. Bank shall be responsible for timely site readiness. Bank agrees that Bidder shall not be in any manner liable for any delay arising out of Bank's failure to make the site ready within the stipulated period.

## 6.2    Definitions

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

1. "The Bank" means Small Industries Development Bank Of India (SIDBI);

2. "The Contract" means the agreement entered into between the Bank after the acceptance of the Bid, represented by its Head Office / Zonal Offices and the Bidder, as recorded in the Contract Form signed by the parties, including all attachments and appendices thereto and all documents incorporated by reference therein;

3. "The Contract Price" means the price payable to the Bidder under the Contract for the full and proper performance of its contractual obligations;

4. "TCC" means the Terms and Conditions of Contract contained in this section;

5. "The Bidder" or "the Vendor" means the individual or firm supplying or intending to supply the Services under this Contract; and

6. "The Project Site" means Small industries Development Bank of India, Mumbai Office.

## 6.3    Clarification of Bids

1. The bidder or its official representative is invited to attend pre-bid (date and venue mentioned in Bid Information Sheet) It would be the responsibility of the Bidders representatives to be present at the venue of the meeting.

2. Clarification sought by bidder should be made in writing (Letter/E-mail/FAX etc) and submitted at least one day prior to the date of pre-bid meeting. Bank has discretion to consider any other queries raised by the bidder's representative during the pre-bid meeting.

3. The text of the clarifications asked (without identifying the source of enquiry) and the response given by the Bank, together with amendment to the bidding document, if any, will be posted on the website. No individual clarifications will be sent to the bidders. It would be responsibility of the bidder to check the website before final submission of bids.

4. During evaluation of Bids, the Bank, at its discretion, may ask the Bidders for clarifications of their Bids. The request for clarification and the response shall be in writing (Fax/e-Mail/letter), and no change in the price of substance of the Bid shall be sought, offered or permitted.

5. Bidder to submit point by point compliance to the technical compliance and it should be included in the Bid.

6. Bidder to quote for entire package on a single responsibility basis for the services it proposes to offer under the contract.

## 6.4 Amendment to the bidding document

1. At any time prior to the date of submission of Bids, the Bank, for any reason, may modify the Bidding Document, by amendment.

2. The amendment will be posted on Banks website www.sidbi.in.

3. All Bidders must ensure that such clarifications have been considered by them before submitting the bid. Bank will not have any responsibility in case some omission is done by any bidder.

4. In order to allow prospective Bidders reasonable time in which to take the amendment into account in preparing their Bids, the Bank, at its discretion, may extend the deadline for the submission of Bids.

## 6.5 Language of Bid

The bid prepared by the Bidders as well as all correspondence and documents relating to the Bid exchanged by the Bidder and the Bank and supporting documents and printed literature shall be written in English.

## 6.6    Sub-Contracting

In general subcontracting is not allowed under this RfP, however the bidder may subcontract only for providing L1 level of resources, if required. However, in this case SIDBI will only deal with the bidding Bidder, who will be responsible for delivery of all services and is here and after called as Prime Bidder. The Prime Bidder will be fully responsible to SIDBI for execution of the contract in its entirety and compliance of SLA.

1. The Prime Bidder will be responsible for the delivery of all the services as per scope.

2. In case of any commercial or legal matter, SIDBI would deal with the Prime Bidder only.

3. In the case of a subcontracting, the responsibility for the details presented in the responses will be of the Prime Bidder. The prime Bidder will be totally responsible for the contracted resources &delivery of services end-to-end and will be a single point of contact.

4. The responsibility for the commercial bid lies with the Prime Bidder.

## 6.7    Rules for Responding to the RFP

1. The responses to the RfP would be deemed to be legal documents and will form part of the final contract. Bidders are required to attach a 'Letter of competence' from an authorized signatory attesting their competence and the veracity of information provided in the responses.  Unsigned responses would be treated as incomplete and are liable to be rejected. Format of letter is given in <u>Annexure-VII</u>.

2. Bidders shall have the opportunity to clarify doubts pertaining to the RfP in order to clarify any issues they may have prior to finalizing their responses. All questions are to be submitted to the General Manager (Systems), and should be received by the point of contact not later than the date mentioned in <u>'Critical Information' (section 2.1)</u> of this RfP document. Responses to inquiries and any other corrections and amendment will be made available on bank's website. The Bidder, which posed the question, will remain anonymous.

3. Any part of the response either technical or commercial bid, submitted by the bidder cannot be withdrawn / modified after the last date for submission of the bids unless otherwise asked by the bank.

4.  SIDBI reserves the right to call for any additional information and also reserves the right to reject the proposal of any Bidder if in the opinion of SIDBI, the information furnished is incomplete or the Bidder does not qualify for the contract.

5.  The Commercial and Technical bids will have to be signed on all pages of the bid by the authorised signatory.  Unsigned bids would be treated as incomplete and would be rejected.

6.  The Bidder must submit the response exactly in the formats mentioned in this RfP and same should be to the point. It must not provide any irrelevant additional information. All the credentials, claimed in the response, must be accompanied with necessary proof. SIDBI would be at discretion to reject the response of the bidder in case any part or whole of the response document is found to be partially or fully incomplete or confusing or misguiding or having irrelevant additional information.

7.  By submitting a proposal, the Bidder agrees to promptly contract with SIDBI for any work awarded to the Bidder. Failure on the part of the awarded Bidder to execute a valid contract with SIDBI within stipulated time will relieve SIDBI of any obligation to the Bidder, and a different Bidder may be selected.

8.  Any additional or different terms and conditions proposed by the Bidder would be rejected unless expressly assented to in writing by SIDBI.

9.  Responses received after the due date / time would be considered late and shall not be accepted or opened. Late received bids shall be returned un-opened within 02 weeks from the bid submission date.

10. SIDBI would not assume any expenses incurred by the Bidder in preparation of the response to this RfP and also would not return the bid to the Bidder.

11. SIDBI shall not be liable for costs incurred during any discussion on proposals or proposed contracts or for any work performed in connection therewith.

12. The offers containing erasures or alterations will not be considered. There should be no hand-written material, corrections or alterations in the offer. Technical details must be completely filled up. Correct technical information / description of the product being offered must be filled in. Filling up of the information using terms such as "OK", "accepted", "offered", "noted", "as given in brochure / manual" is not

acceptable. SIDBI may treat proposals not adhering to these guidelines as unacceptable and thereby the proposal may be liable to be rejected.

13. Responses received become the property of SIDBI and can't be returned. Information provided by each Bidder will be held in confidence, and will be used for the sole purpose of evaluating a potential business relationship with the Bidder.

14. The Bidders shall adhere to the terms of this RfP document and shall not deviate from the same. If the Bidders have absolutely genuine issues only then should they provide their nature of non-compliance to the same in the format provided separately with this RfP. The Bank reserves its right to not accept such deviations to the Tender terms, in its sole and absolute discretion, and shall not be obliged to furnish any reason for exercising such right.

## 6.8 Bid Security & Performance Guarantee

### 6.8.1 Bid Security / Earnest Money Deposit (EMD)

1. All the responses must be accompanied by a refundable interest free security deposit of amount of ₹20,50,000/- (₹ Twenty Lakh Fifty Thousand only)in the form of Demand Draft/ Pay Order OR Bank guarantee issued by a scheduled commercial bank.

2. Demand Draft/Pay order should be in favour of "Small Industries Development Bank of India" payable at Mumbai or in the form of Performance Security. The Demand Draft/ Pay Order should be of a Scheduled Commercial Bank only and will be accepted subject to the discretion of the Bank.

3. Format of EMD/ Bid Security is prescribed in "Annexure XIV – EMD / Bid Security Form". Any bid received without EMD in proper form and manner shall be considered unresponsive and rejected.

4. Any bid received without EMD in proper form and manner shall be considered unresponsive and rejected.

5. The amount of Earnest money deposit (EMD) would be forfeited in the following scenarios:

   i. In case the Bidder withdraws the bid prior to validity period of the bid for any reason whatsoever;

ii. Bidder makes any statement or encloses any form which turns out to be false/ incorrect at any time prior to signing of the contract.

iii. In case the successful Bidder fails to accept and sign the contract as specified in this document within time stipulated by SIDBI for any reason whatsoever; or

iv. In case the successful Bidder fails to provide the performance guarantee within 15 days from the date of issuing the LOI / placing the order by the Bank or signing of the contract, whichever is earlier, for any reason whatsoever.

Besides forfeiting the EMD, the Bank may ban the bidder from subsequent bidding for a period of not less than 3 years.

6. The EMD amount/ BG of all unsuccessful bidders would be refunded immediately upon occurrence of any the following events, whichever is earlier:

i. Receipt of the signed contract and performance security from the successful bidder. **OR**

ii. The end of the bid validity period, including extended period (if any), **OR**

iii. Issue of Letter of Intent / Purchase order to the successful bidder

7. Successful bidder will be refunded the EMD amount only after submission of Performance Bank Guarantee as mentioned in <u>Performance Bank Guarantee (PBG) section</u>.

8. No interest will be paid on EMD.

9. Request for exemption from EMD will not be entertained.

## 6.8.2 Performance Bank Guarantee (PBG)

1. The successful Bidder shall provide an unconditional and irrevocable performance bank guarantee in the form and manner provided by the Bank equivalent to **10%** of the total contract value for one year. The year having highest contract value will be used for calculation of value of PBG. The performance guarantee will be valid till at least three months beyond the expiry of the contract period. The performance security is to be submitted within ONE month from the date of award of contract as per the format provided by Bank.

2. In the event of non-performance of obligation or failure to meet terms of this RfP/Contract, the Bank shall be entitled to invoke the performance guarantee without

notice or right of demur to the Bidder. The guarantee should be from a scheduled commercial bank only.

3. In case of expiry of BG prior to project completion, the bidder will be required to renew the BG for further period as per plan. If the performance bank guarantee is not submitted within the time stipulated by SIDBI, the Bank reserves the right to cancel the order and forfeit the EMD.

4. The Project will be deemed complete only when all the solutions and services contracted for by the Bank are delivered in good condition, installed, commissioned, implemented, tested and accepted along with the documentation and training provided to Bank's employees in compliance with the terms of this RfP and as per the requirements of the contract executed between the Bank and the Successful Bidder.

5. The Performance Bank Guarantee would be returned to the successful Bidder after the expiry or termination of the contract plus 90 days on satisfaction of the Bank that there are no dues recoverable from the successful Bidder.

6. Notwithstanding anything to the contrary contained in the contract, SIDBI shall be at liberty to invoke the Performance Bank Guarantee in addition to other remedies available to it under the contract / order or otherwise if the Successful Bidder fails to fulfill any of the terms of contract / order or commits breach of any terms and conditions of the contract.

7. On faithful execution of contract in all respects, the Performance Guarantee of the Bidder shall be released by SIDBI.

8. If aggregated shortfall in achieving Service Level requirement exceeds 10% successively in two quarters or any three quarters in a financial year, SIDBI will inter-alias, be at liberty to invoke the performance guarantee within the ambit of Section 6.8.2 (6) hereinabove in addition to other remedies available to it under the contract or otherwise.

9. Time shall be the essence of the contract / order, therefore, no extension of time is anticipated, but if untoward or extraordinary circumstances should arise beyond the control of the Bidder, which in the opinion of SIDBI should entitle the Bidder to a reasonable extension of time, such extension may be considered by SIDBI at its sole and absolute discretion, however such extension shall not operate to relieve the

Bidder of any of its obligations. SIDBI shall not be liable for any extra financial commitment due to such extension of time. In case of any such extension, the Bidder would be required to extend the validity period of the performance guarantee accordingly.

## 6.9 Forfeiture of performance security

1. The Bank shall be at liberty to set off/adjust the proceeds of the performance guarantee  towards the loss, if any, sustained due to the bidder's failure to complete its obligations  under the contract. This is without prejudice to the Bank's right to proceed against the Bidder in the event of the security being not enough to fully cover the loss/damage.

2. In the event of non-performance of obligation or failure to meet terms of this RfP/Contract, the Bank shall be entitled to invoke the performance guarantee without notice or right of demur to the Bidder.

## 6.10 Procurement Policy on Micro and Small Enterprises (MSEs)

1. SIDBI is governed by provisions of the Public Procurement Policy for Micro and Small Enterprises (MSEs) as circulated by The Ministry of MSME, GoI.

2. These provisions shall be applicable to Micro and Small Enterprises (MSEs) registered with District Industries Centers or Khadi and Village Industries Commission or Khadi and Village Industries Board or Coir Board or National Small Industries Corporation or Directorate of Handicrafts and Handloom or any other body specified by Ministry of Micro, Small and Medium Enterprises (MSMEs).

3. Such MSEs would be entitled for exemption from furnishing tender fee and earnest money deposit (EMD). In case of any issue on the subject matter, the MSE's may approach the tender inviting authority to resolve their grievances.

4. Agencies/ Bidders desirous of availing exemptions/ preference under above provisions should submit a copy of proof of Registration as MSEs/ and ownership of the same by SC/ST along with the tender/RFP.

5. Bidder is required to inform its MSME status as per following definition, if applicable.

| EnterpriseCategory | Manufacturing (Original Investment in P&M) | Services (Original Investment in Equipment) |
|---|---|---|
| Micro | Up to ₹ 25 lakh | Up to ₹ 10 lakh |
| Small | Up to ₹ 500 lakh | Up to ₹ 200 lakh |
| Medium | Up to ₹ 1000 lakh | Up to ₹ 500 lakh |

## 6.11 Period of Validity of Bids

1.  Prices and other terms offered by Bidders must be firm for an acceptance period of six (6) months from last date for submission of bids as mentioned in 'Critical information' sheet.

2.  In exceptional circumstances the Bank may solicit the Bidders consent to an extension of the period of validity. The request and response thereto shall be made in writing.

3.  Bank, however, reserves the right to call for fresh quotes at any time during the period, if considered necessary.

## 6.12    Deadline for submission of Bids

1.  The bids must be received by the Bank at the specified address not later than date mentioned in 'Critical Information', given in the beginning of this document.

2.  In the event of the specified date for the submission of bids, being declared a holiday for the Bank, the bids will be received up to the appointed time on the next working day.

3.  The Bank may, at its discretion, extend the deadline for submission of Bids by amending the Bid Documents, in which case, all rights and obligations of the Bank and Bidders previously subject to the deadline will thereafter be subject to the deadline as extended.

## 6.13    Late Bids

Any bid received by the Bank after the deadline for submission of bids prescribed by the Bank will be rejected and returned unopened to the bidder.

## 6.14    Modification And/ Or Withdrawal of Bids

1.  The Bidder may modify or withdraw its bid after the bid's submission, provided that written notice of the modification including substitution or withdrawal of the bids is received by the Bank, prior to the deadline prescribed for submission of bids.

2.  The Bid modification or withdrawal notice must be on bidder's letterhead, signed and sealed. A withdrawal notice may also be sent by Fax/email and followed by a signed confirmation copy received by the Bank not later than the deadline for submission of bids.

3.  No bid may be modified or withdrawn after the deadline for submission of bids.

4.  Bank has the right to reject any or all bids received without assigning any reason whatsoever. Bank shall not be responsible for non-receipt / non-delivery of the bid documents due to any reason whatsoever.

## 6.15    Opening of Technical Bids by the Bank

1. Bids, except commercial bids, received within stipulated time, shall be opened as per schedule given in the 'Critical information' sheet.

2. On the scheduled date and time, bids will be opened by the Bank Committee in presence of Bidder representatives. It is the responsibility of the bidder's representative to be present at the time, on the date and at the place specified in the tender document. The bidders' representatives who are present shall sign the required documents evidencing their attendance and opening of bids in their presence.

3. If any of the bidders or all bidders who have submitted the tender and are not present during the specified date and time of opening, bank at its discretion will proceed further with opening of the technical bids in their absence.

4. The Bidder name, presence or absence of requisite EMD and such other details as the Bank, at its discretion may consider appropriate will be announced at the time of bid opening.

5. Bids that are not opened at Bid opening shall not be considered for further evaluation, irrespective of the circumstances. Withdrawn bids will be returned unopened to the Bidders.

## 6.16    Preliminary Examinations

1. The Bank will examine the Bids to determine whether they are complete, the documents have been properly signed, supporting papers/ documents attached and the bids are generally in order.

2. The Bank may, at its sole discretion, waive any minor infirmity, nonconformity or irregularity in a Bid which does not constitute a material deviation, provided such a waiver does not prejudice or affect the relative ranking of any Bidder.

3. Prior to the detailed evaluation, the Bank will determine the substantial responsiveness of each Bid to the Bidding document. For purposes of these Clauses, a substantially responsive Bid is one, which conforms to all the terms and conditions of the Bidding Document without material deviations. Deviations from or objections or reservations to critical provisions, such as those concerning Bid security, performance security, qualification criteria, insurance, Force Majeure etc will be deemed to be a material deviation. The Bank's determination of a Bid's responsiveness is to be based on the contents of the Bid itself, without recourse to extrinsic evidence.

4. If a Bid is not substantially responsive, it will be rejected by the Bank and may not subsequently be made responsive by the Bidder by correction of the nonconformity.

5. Bids without EMD / Bid security in the proper form and manner will be considered non-responsive and rejected.

6. The Bidder is expected to examine all instructions, forms, terms and specification in the Bidding Document. Failure to furnish all information required by the Bidding Document or to submit a Bid not substantially responsive to the Bidding Document in every respect will be at the Bidder's risk and may result in the rejection of its Bid.

## 6.17 Use of Contract Documents and Information

1. The bidder shall not, without the Bank's prior written consent, disclose the Contract, or any provision thereof, or any specification, plan, drawing, pattern, sample or information furnished by or on behalf of the Bank in connection with, to any person other than a person employed by the Bidder in the performance of the Contract. Disclosure to any such employed person shall be made in confidence and shall extend only as far as may be necessary for purposes of such performance.

2. The Bidder will treat as confidential all data and information about the Bank, obtained in the execution of his responsibilities, in strict confidence and will not reveal such information to any other party without the prior written approval of the Bank.

## 6.18 Rules for Evaluation of Responses

1. All the responsive bids will be evaluated as per the procedure detailed in **Chapter- 8 - Bid evaluation methodology.**

2. All the documentary proofs are to be submitted along with the bid in this regard.

3. To assist in the scrutiny, evaluation and comparison of responses/offers, SIDBI may, at its discretion, ask some or all Bidders for clarification of their offer. The request for such clarifications and the response will necessarily be in writing. SIDBI has the right to disqualify the Bidder whose clarification is not received by SIDBI by the stipulated time or is found not suitable to the proposed project.

4. Bidders are requested to be prepared to demonstrate, through presentations and / or site visits, as part of the final evaluation in accordance with the responses given for the identified requirements, within a week's period after the last date of the submission of proposals, as mentioned in 'Critical Information' of this document. Accordingly, SIDBI will communicate a date and time to all Bidders. The Bidder will arrange such demonstrations, presentations or site visits at its own cost.

5. SIDBI may appoint the services of an external consultant for evaluation of the bid proposal.

6. Bidders must not present any reference as credential for which it is not in a position to present the verifiable facts/documents because of any non-disclosure agreement with its other customer or any other reason whatsoever. SIDBI would not consider any

statement as a credential if same cannot be verified as per its requirement for evaluation.

7.  SIDBI may at its absolute discretion exclude or reject any proposal that in the reasonable opinion of SIDBI contains any false or misleading claims or statements. SIDBI shall not be liable to any person for excluding or rejecting any such proposal.

8.  Bank may waive off any minor infirmity or nonconformity or irregularity in a bid, which does not constitute a material deviation, provided such a waiving, does not prejudice or affect the relative ranking of any bidder.

9.  SIDBI reserves the right to reject any proposal in case same is found incomplete or not submitted in the specified format given in this RfP document. SIDBI would not give any clarification/explanation to the concerned bidder in case of such rejection.

10. SIDBI reserves the right to modify the evaluation process at any time during the Tender process (before submission of technical and commercial responses by the prospective bidder), without assigning any reason, whatsoever, and without any requirement of intimating the Bidders of any such change.

11. SIDBI will award the Contract to the successful Bidder whose bid has been determined to be substantially responsive and has been determined as the best bid, provided further that the Bidder is determined to be qualified to perform the contract satisfactorily. However, SIDBI shall not be bound to accept the best bid or any bid and reserves the right to accept any bid, either wholly or in part, as it may deem fit.

## 6.19 Contacting the Bank

1.  After opening of Bid to the time a communication in writing about its qualification or otherwise received from the Bank, bidder shall NOT contact the Bank on any matter relating to its Bid.

2.  Any effort by the Bidder to influence the Bank in its decisions on Bid evaluation, Bid comparison may result in the rejection of the Bidder's Bid.

## 6.20 Conditional Bids

Conditional bids shall not be accepted on any ground and shall be rejected straightway. If any clarification is required, the same should be obtained from the bank before submission of bids.

## 6.21 Commercial Bid

1.  Non-refundable price of the bid has been fixed at ₹25,000/-. Bidder has to necessarily deposit₹25,000/- (₹ Twenty Five Thousand only) in the envelope of 'Minimum Eligibility Criteria bid', in the form of a Demand Draft / Banker's Cheque drawn in

favour of "Small Industries Development Bank of India" payable in Mumbai. Any bid received without this shall be considered unresponsive and rejected.

2. **Currency** – TheBidder is required to quote in Indian Rupees ('INR'/ '₹'). Bids in currencies other than INR may not be considered.

3. **Tax & Octroi -**The prices quoted would include all costs such as sales tax, VAT, custom duties, transportation, out of pocket expenses, lodging and boarding expenses, service tax, Education cess, Octroi etc.,that need to be incurred. No additional cost whatsoever would be paid.

4. **Validity of Bids** - The prices and other terms offered by Bidders must be firm for an acceptance period of six (6) months from date of opening of the commercial bids.

5. While any increase in the rates of applicable taxes or impact of new taxes subsequent to the submission of commercial bid shall be borne by SIDBI, any subsequent decrease in the rates of applicable taxes or impact of new taxes shall be passed on to SIDBI in its favour. This will remain applicable throughout the contract period.

6. **ATS / AMC** – Bidders to note that SIDBI is having adequate licenses of the HP OpenView tools listed in section 3.4 and all other software products being used in the bank. ATS/AMC of the existing licenses of HP OpenView software would be separately procured by SIDBI. However, it will be the bidder's responsibility to use these software for providing services using ITIL framework, maintain inventory and manage the software themselves.

7. It would be bidder's responsibility to identify and factor cost of each and every commercial item mentioned in this RfP document during submission of commercial bids. In case of any such item is left out and noticed after completion of commercial evaluation, the selected bidder (Service Provider) has to provide the services at its own cost. However, if anything is missed out by SIDBI in the RfP document, SIDBI would bear the additional expenditure to avail the services at the rate mentioned in the commercial bids of the Service Provider for similar such item.

8. The Commercial Bid should be as per format mentioned in the RFP. In addition, the break-up of the amount over the five years period also needs to be given as per format given. Item-wise unit cost, wherever asked, must be given as per format. Consideration of commercial bids, not submitted as per requisite format, will be at the discretion of the bank.

## 6.22 No Commitment to Accept Lowest or Any Offer

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

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

3. The bids received and accepted will be evaluated by the Bank to ascertain the best and lowest bid in the interest of the Bank. However, the Bank does not bind itself to accept the lowest or any Bid and reserves the right to reject any or all bids at any point of time prior to the order without assigning any reasons whatsoever. The bank reserves the right to re-tender.

## 6.23    Arithmetic errors correction

Arithmetic errors, if any, in the price break-up format will be rectified on the following basis:

1. If there is discrepancy in the price quoted in figures and words, the price, in figures or in words, as the case may be, which corresponds to the total bid price for the item shall be taken as correct.

2. It the vendor 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.

## 6.24    Acceptance of the Services

After the transition period, the services will be accepted once all the requisite services deliveries have been commenced and requisite resources as per the agreement has been deployed at respective locations to the satisfaction of SIDBI. Service provider must obtain the signature of acceptance from SIDBI at appropriate time.

## 6.25    Service Delivery

1. Successful Bidder / Service provider will be required to commence all the services with effect from **January 01, 2016.**

2. To meet SIDBI's requirements, as spelt out in the RFP, the Bidder must have the requisite experience in providing services in the field of Information Technology, the technical know-how, and the financial wherewithal that would be required to successfully set-up the required infrastructure and provide the services sought by SIDBI, for the entire period of the contract.

3. Selected bidder would be issued 'Letter of intent (LOI)' on final selection and completion of internal approval formalities of the bank. Exercise of signing of contract will be parallel activity. While both the parties will endeavour in signing of contract fast, Service provider must start its activities to commence its services based on the LOI issued and stick to the delivery schedule mentioned in this RfP document irrespective of the date of signing of contract.

4. Project is based on delivery of on-site services at SIDBI's office premises as per defined 'Service Level Agreement' (SLA). Bidder is required to post certain number of resources under several categories on-site at SIDBI office as per its response to this

tender. However, the bidder would be required to augment its resource strength as and when required to meet SLA commitment.

5.   In addition to providing services as per service window defined in this RfP document, service provider is required to provide services on Saturdays /Sundays /Holidays in case of urgent requirement of the bank without any extra cost.

6.   Service Level Requirement and Penalty in not achieving the same have been described in the 'Service Level Requirement' chapter.

7.   The Bidder would align its expertise from its respective backend technology practice/tower/vertical in the organisation to attend any critical technical issue as and when required. These services would be in addition to the resources deployed on-site in SIDBI premises. It may be noted that SIDBI will not allow remote access of its data or systems for attending to any technical problem.

8.   Service provider must arrange for posting of staff members having requisite qualification, experience, skill-set, certification etc. as mentioned in the "**Chapter 4: Project Scope"**of this document.

9.   During Implementation, Warranty and/or AMC, the Bidder shall provide all necessary technical support / services and advice in connection with the installation, Commissioning, upgradation, implementation, fine tuning, operationalisation and acceptance testing of complete IT Solution supplied, through qualified personnel at the Site, at no additional cost.

10.   Time is the essence of this RfP/ Contract to be entered with the Successful Bidder, therefore, the Bidder must strictly adhere to the delivery schedule of the manpower and services identified in their proposal.  Failure to do so will be considered as breach of the terms and conditions of the contract.

11.   The Bidder undertakes to provide appropriate human as well as other resources required, to execute various tasks assigned as part of the project, from time to time.

12.   SIDBI reserves the right to stop availing of part of the services anytime during the contract period without assigning any reason thereof, with a prior written notice of **30 days**. Payment of such services shall be made on pro-rata basis till the date of stopping of the services and any payment made already in advance shall be adjusted from any payments to be made in future.

## 6.26   Ownership of Delivered Services

The selected Bidder, who will be awarded the contract, will hold ownership of its delivery of the services under the contract and be responsible for the services delivered.All the deliverables as per the scope of this RfP will become the property of the Bank.

## 6.27 Addition / Deletion of qualified offerings

The intent of this Tender is to establish an initial set of service offerings. The Bank recognizes that, as the use of these services expands, it is possible that additional services and / or service categories will be needed. Accordingly, the Bank may request / demand for additional resources for self and / or its associates / subsidiary concerns. In case of requirement of service delivery for associates / subsidiary, a separate order may be placed by the Bank or associates / subsidiary at the same terms & conditions.

For this purpose, a Change Order Procedure will be followed. Bank may request a change order in the event of actual or anticipated change(s) to the agreed scope of work, services, deliverables and schedules. The Bidder will have to prepare a change order reflecting the actual or anticipated change(s) including the impact on deliverables schedule. The Bidder will be liable to carry out such services as required by the Bank at mutually agreed terms and conditions.

The Bidder will have to agree that the price for incremental offering cannot exceed the original proposed cost and the Bank reserves the right to re-negotiate the price at the unit rates provided for TCO calculations. The Bank has the right to order as much as it wants at those rates.

The Bidder will have to agree to submit the request to add new services or service categories on its letterhead signed by a representative authorized to bind the organization.

The Bank is under no obligation to honour such requests to add service categories or amend this RfP/ contract to be entered with the successful Bidder.

As a method for reviewing Bidder services and Bank requirements, the Bank will sponsor regular reviews to allow an exchange of requirements and opportunities.

All quantities mentioned in this RFP are indicative. The quantities of components to be procured as part of this Tender can be varied by the Bank. This also includes the right to modify the number of branches, extension counters, offices, training centres etc.

## 6.28 Reverse Transition Plan

Reverse Transition Services are the services provided by the Successful Bidder to Bank during the reverse transition period which will be undertaken towards the end of the contract period or during the extension period or during the 90 days' notice period to facilitate an orderly transfer of the Services to Bank or to an alternative third party service provider nominated by Bank. Where Bank elects to transfer responsibility for service delivery to a number of Bidders, Bank will nominate a Prime services provider who will be responsible for all dealings with Bidder regarding the delivery of Reverse Transition Services.

As part of Reverse Transition Services, Bank shall have the right, and Bidder shall not object to or interfere with such right, to contract directly with any Bidder's sub-contractor.

The Reverse Transition Services, to be provided by the Bidder to the Bank shall include the following:

1. **Data Centre/Disaster Recovery Centre**

    a. The Bidder will have to suitably and adequately train the Bank's or its designees' team for fully and effectively manning, operating and maintaining the Data Centre. The same shall be scoped and charged additionally.

    b. Bidder will have to provide adequate documentation thereof.

    c. The Bidder will have to jointly manage the Data Centre with the Bank or its designee's team for a reasonable period of time.

    d. Bidder will have to assist the Bank in relocation of Data Center / Disaster Recovery facility, if desired by the Bank.

2. **Hardware**

    The Bidder will have to provide a list of sub-contractors used by the Bidder for maintaining the hardware (including inter alia, servers, PC's, networking, switches, routers etc.) under this RFP and shall ensure that all such sub-contractors shall enter into separate annual maintenance agreements for maintenance of the hardware maintained under this RFP, upon commercially reasonable terms and conditions as available currently to the vender or better than the same.

3. **Network Management**

The Bidder will have to provide a list of network service providers used by the Bidder for providing corporate network connectivity under this Tender and subsequent Agreement and shall ensure that all such network service providers shall enter into separate annual maintenance agreements for use and management of the network, upon commercially reasonable terms and conditions as available currently to the vender or better than the same.

4. **Knowledge transfer**

   a. The Bidder will have to provide such necessary information, documentation to the Bank or its designee, for the effective management and maintenance of the Deliverables. Bidder shall provide documentation (in English) in electronic form where available or otherwise a single hardcopy of all existing procedures, policies and programs required to support the Services. Such documentation will be subject to the limitations imposed by Bidder's Intellectual Property Rights of this RFP and shall include:

      i. Network maps

      ii. Operational work instructions

      iii. Listing of all events being monitored and the monitoring frequency

   b. Listing of all third (3rd) party Bidders that have been directly relevant to the provision of the Services and that may be the subject of a request by Bank or the replacement service provider for assignment, cancellation or renovation.

5. **Warranties**

   All the warranties, if any, held by or in the name of the Bidder shall be assigned or transferred "As Is" in the name of the Bank. The Bidder shall execute any and all such documents as may be necessary in this regard. The Parties shall return confidential information and will sign-off and acknowledge the return of such confidential information.

6. Bidder will have to provide all other Services as may be agreed by the Parties in connection with the Reverse Transition Services. However, in case any other services,

in addition to the above are needed, the same shall be scoped & priced based on Bidder's then applicable time and materials rates.

7. The Bidder recognizes that considering the enormity of the Assignment, the Transition Services listed herein are only indicative in nature and the Bidder agrees to provide all assistance and services required for fully and effectively transitioning the Services provided by the Bidder under this Tender and subsequent Agreement, upon termination or expiration thereof, for any reason whatsoever.

## 6.29 Payment Terms

1. The bidder will submit the cost details in the specified format mentioned in **Annexure - XVII**. Service provider will be paid in quarterly instalments. Calculation of the instalments will be as follows:

| Sr. No. | Service Type | Total Cost for the respective year | Quarterly Payment (QP) | Remarks |
|---|---|---|---|---|
| 1 | All the services including DC/DR, application support etc. | $C_{Services}$ | $QP_{Services} = C_{Services} / 4$ | $C_{Services}$ is the cost of services for the respective year as given in the commercial bid. |
| 2 | AMC | --- | $QP_{AMC} = C_{AMC}$ | $C_{AMC}$ is the actual AMC cost for the quarter as given in the commercial bid. |
| 3 | **Total payment for the quarter** | | $QP_{Services} + QP_{AMC}$ | |

2. 100% of the payable for each quarter will be paid in the subsequent quarter. The service provider will submit invoices at the end of the quarter. The Bank will make the payment within 30 days subject to submission invoices along with supporting documents / reports towards delivery of services.

3. Payment for any quarter will be made after deducting TDS/other taxes and applicable penalty pertaining to respective quarter.

4. Payment of first instalment will be released only after acceptance of the services and submission of Performance Bank Guarantee. In case of delay in commencing services, payment will be made on pro-rata basis for the services delivered.

5. Payment for subsequent quarters will be made only after the payments of previous quarters have been released.

6. Payment in case of Termination of contract – In case the contract is terminated payment towards services will be made on pro rata basis, for the period services have been delivered, after deducting applicable penalty, TDS/other taxes and adjusting other pending charges, if any.

7.  The payments will be made by SIDBI, Mumbai electronically through RTGS/ NEFT. Vendor is required to submit Bank Mandate Form (**as per Annexure - XIII**) along with cancelled cheque in original along with the technical bid.

8.  In addition to the services contracted for the Bank, purchase order may also be issued separately by the subsidiary / associate organization or organization being managed by SIDBI for additional services as per the contracted rates at the same terms and conditions. Towards such orders, the payment will be made by the respective organizations.

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

10. TDS, if any, will be deducted while releasing the payment.

11. All Payments will be made to the Bidder in Indian Rupee only.

12. No advance payment will be made in any case.

## 6.30    Expenses

1.  It may be noted that SIDBI will not pay any additional amount separately towards travelling expenses / boarding expenses / lodging expenses / conveyance expenses / out of pocket expenses or any other fees /charges.

2.  However the Bidder may factor such expenses within the total project cost towards travelling, boarding and lodging outside Mumbai, if any, to meet the requirement described in the scope of work.

## 6.31    Penalty for Default in Services

Penalty clause is defined as follows for different purposes. All of them are independent of each other and several and cumulative and not exclusive of each other.

Penalty charged towards shortfall in achieving Service Level Requirement during the contract period has been defined in Chapter – 5 - 'Service level requirement and Penalty '.

Delay in commencement of the services as mentioned in section 6.8 above, will attract penalty @1% of the cost of respective services, severally and cumulatively and not exclusive of each other, for every week's delay subject to maximum of **10%** of the cost of each of such

services being delivered. Fraction of week is to be construed as one full week for arriving at the delay in terms of weeks.

Penalty would not be applicable for delay due to reasons attributable to the Bank and Force Majeure. However, it is responsibility of the selected bidder to prove that the delay is attributed to the Bank or Force Majeure.

Bank reserves the right to adjust the penalty and Liquidity damages if any against any amount payable to the bidder or PBG.

## 6.32    Waiver

No failure or delay on the part of either party relating to the exercise of any right power privilege or remedy provided under this RFP or subsequent agreement with the other party shall operate as a waiver of such right power privilege or remedy or as a waiver of any preceding or succeeding breach by the other party nor shall any single or partial exercise of any right power privilege or remedy preclude any other or further exercise of such or any other right power privilege or remedy provided in this RFP all of which are several and cumulative and are not exclusive of each other or of any other rights or remedies otherwise available to either party at law or in equity.

## 6.33    Taxes and Duties

1.  The bidder shall be entirely responsible for all applicable taxes, duties, levies, charges, license fees, road permits, etc. in connection with delivery of products/services at site including incidental services and commissioning.

2.  The bidder must also ensure that all applicable laws framed by the Central Government, State Government and Local Bodies, including payment of applicable minimum wages and all laws pertaining to contract employees/ labour laws are complied with while providing services. The selected vendor may have to execute an indemnity bond in favour of the Bank in this regard.

3.  Providing clarifications/particulars/documents etc. to the appropriate tax authorities for assessment of tax, compliance with labour and other laws, etc will be the responsibility of the vendor at his cost.

4. **Tax deduction at Source** - 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 the Vendor. 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 in force. Nothing in the Contract shall relieve the Vendor from his responsibility to pay any tax that may be levied in India on income and profits made by the Vendor in respect of this contract.

## 6.34 Insurance

Insurance for the entire IT infrastructure owned by SIDBI as on the date of contract or acquired during the course of contract, shall be taken by the bank as per its own policy.

## 6.35 Execution of Agreement and NDA

1. The selected bidder should execute agreement with the Bank which will remain valid for at least **66**months. The agreement would include all the terms and conditions of the services to be extended as detailed herein and as may be prescribed or recommended by the Bank which will include a Non-disclosure Agreement clause.

2. The agreement with Non-disclosure agreement clauses should be executed within three weeks from the date of purchase order.

3. The date of agreement shall be treated as date of engagement and the time-line for completion of the assignment shall be worked out with reference to this date.

## 6.36 Term and Termination

1. The contract shall commence on the effective date and continue for a period of five years thereafter. If so desired by SIDBI, contract may be extended for a maximum period of 6 months on the same terms and conditions.

2. Bank shall have the option to terminate any subsequent agreement, in whole or in part by giving the Successful Bidder/ Service Provider at least 90 days' prior notice in writing. Without prejudice to the generality of the foregoing, the Bank will be entitled to terminate any subsequent agreement, if Bidder breaches any of its obligations set forth in this RFP and any subsequent agreement and

   a. Such breach is not cured within thirty (30) Working Days after Bank gives written notice; or

   b. If such breach is not of the type that could be cured within thirty (30) Working Days, failure by Bidder to provide Bank, within thirty (30) Working Days, with a reasonable plan to cure such breach, which is acceptable to the Bank.

3.  The successful Bidder shall not have any right to terminate the Agreement entered into subsequent to this RfP for convenience. However, without prejudice to the generality of the foregoing, the successful Bidder will be entitled to terminate the agreement entered into subsequent to this RfP, if:

    a.  Bank materially breaches any of its obligations set forth in this Tender and subsequent Agreement; and

    b.  Such breach is not cured within thirty (30) Working Days after Bidder gives written notice, or

    c.  If such breach is not of the type that could be cured within thirty (30) Working Days, failure by Bank to provide Bidder, within thirty (30) Working Days, with a reasonable plan to cure such breach.

4.  This Tender and subsequent Agreement shall be deemed to have been terminated by either Party one day prior to the happening of the following events of default:

    a.  The other Party becomes unable to pay its debt as they fall due or otherwise enters into any composition or arrangement with or for the benefit of its creditors or any class thereof;

    b.  A liquidator or a receiver is appointed over all or a substantial part of the undertaking, assets or revenues of the other Party and such appointment continues for a period of twenty one (21) days;

    c.  The other Party is subject of an effective resolution for its winding up other than a voluntary winding up for the purpose of reconstruction or amalgamation upon terms previously approved in writing by the other Party; or

    d.  The other Party becomes the subject of a court order for its winding up.

5.  Either Party shall have the immediate right to terminate this Tender and subsequent Agreement upon written notice to the other Party in the event that such other Party ceases to be in operation or ceases to do business in India.

6.  The Bidder understands the largeness of this Project and that it would require tremendous commitment of financial and technical resources for the same from the Bidder for the tenure of this Tender and subsequent Agreement. The Parties therefore agree and undertake that an exit at any point (due to expiry or termination of this Tender and subsequent Agreement for any reason whatsoever), would happen only after the completion of the notice period of 90 days, and only after completion of the Bidders obligations under a reverse transition mechanism. During this period of Reverse Transition, the Bidder will have to continue to provide the Deliverables and the Services in accordance with this Tender and subsequent Agreement and will have to maintain the agreed Service levels.

7. Immediately upon the date of expiration or termination of the Tender and subsequent Agreement, Bank shall have no further obligation to pay any fees for any periods commencing on or after such date.

8. Without prejudice to the rights of the Parties, upon termination or expiry of this Tender and subsequent Agreement, Bank shall pay all the undisputed fees outstanding till the date of termination to the Service Provider, within thirty (30) days of completion of the reverse transition period.

9. Upon the termination or expiry of this Tender and subsequent Agreement:

   a. The rights granted to Bidder shall immediately terminate.

   b. Upon Bank's request, with respect to, (i) any agreements for maintenance, services or other third-party services used by Bidder to provide the Services; and (ii) the assignable agreements, Bidder shall, use its reasonable commercial endeavours to assign such agreements to Bank and its designee(s) on commercially reasonable terms mutually acceptable to both Parties.

   c. Upon Bank's request in writing, Bidder will be under an obligation to transfer to Bank or its designee(s) the Deliverables being used by Bidder to perform the Services free and clear of all liens, security interests, or other encumbrances at a value calculated as stated.

## 6.37    Applicable laws

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

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

2. Compliance in obtaining approvals/ permissions/ licenses: The Bidder shall promptly and timely obtain all such consents, permissions, approvals, licenses, etc., as may be necessary or required for any of the purposes of this project or for the conduct of their own business under any applicable Law, Government Regulation/Guidelines and shall keep the same valid and in force during the term of the project, and in the event of any failure or omission to do so, shall indemnify, keep indemnified, hold harmless, defend, protect and fully compensate the Bank and its employees/ officers/ resource/ personnel/ representatives/agents from and against all

claims or demands of liability and all consequences that may occur or arise for any default or failure on its part to conform or comply with the above and all other statutory obligations arising therefrom and the Bank will give notice of any such claim or demand of liability within reasonable time to the bidder.

## 6.38    No Employer-Employee Relationship

The selected bidder during the term of the contract and for a period of two years thereafter shall not without the express written consent of the Bank, directly or indirectly a. Recruit, hire, appoint or engage or attempt to recruit, hire, appoint or engage or discuss employment with or otherwise utilise the services of any person who has been an employee or associate or engaged in any capacity, by the Bank in rendering the services in relation to the contract; or b. Induce any person who shall have been an employee or associate of the Bank at any time to terminate his / her relationship with the Bank.

## 6.39    Rights to Visit

1.  All records of the Bidder with respect to any matters covered by this Tender document/ subsequent order shall be made available to SIDBI or its designees at any time during normal business hours, as often as SIDBI deems necessary, to audit, examine, and make excerpts or transcripts of all relevant data.

2.  SIDBI, including its regulatory authorities like RBI etc., reserves the right to verify, through their officials or such other persons as SIDBI may authorise, the progress of the project at the development /customization site of the Bidder or where the services are being rendered by the bidder.

3.  The Bank and its authorized representatives, including regulator like Reserve Bank of India (RBI) shall have the right to visit any of the Bidder's premises with prior notice to ensure that data provided by the Bank is not misused. The Bidder will have to cooperate with the authorized representative/s of the Bank and will have to provide all information/ documents required by the Bank.

4.  The right to visit under these clauses shall be restricted to physical files related to this arrangement. Visit shall be conducted during normal business hours and on normal working days after informing the bidder in advance.

## 6.40    Audit

1.  The vendor shall allow the Bank, its authorised personnel, its auditors (internal and external), authorised personnel from RBI / other regulatory & statutory authorities, and grant unrestricted right to inspect and audit its books and accounts, to provide copies of any audit or review reports and findings made on the service provider, directly related to the services.

2. In case any of the services are further outsourced/ assigned/ subcontracted to other vendors, it will be the responsibility of the vendor to ensure that the authorities /officials as mentioned above are allowed access to all the related places, for inspection and verification.

3. Audit under this clause shall be restricted to physical files related to this arraignment. Audit shall be conducted during normal business hours and on normal working days after informing the bidder in advance.

## 6.41     IPR Infringement

As part of this project bidder/service provider will use software/tool to deliver services.If the deliverables and use of any such software/tool used for such delivery, infringe the intellectual property rights of any third person, bidder/service provider shall be primarily liable to indemnify SIDBI to the extent of direct damages against all claims, demands, costs, charges, expenses, award, compensations etc. arising out of the proceedings initiated by third party for such infringement, subject to the condition that the claim relates to Software provided/used by Bidder/Service provider under this project.

## 6.42     Indemnity

1. The Bidder/ successful bidder shall indemnify the Bank, and shall always keep indemnified and hold the Bank, its employees, personnel, officers, directors, harmless from and against any and all losses, liabilities, claims, actions, costs and expenses (including attorneys' fees) relating to, resulting directly or indirectly from or in any way arising out of any claim, suit or proceeding brought against the Bank as a result of:

   a. Bank's authorized / bona fide use of the Deliverables and /or the Services provided by Bidder under this RfP document; and/or any subsequent agreement; and/or

   b. An act or omission of the Bidder, employees, agents, sub contractors in the performance of the obligations of the Bidder under this RfP document or any subsequent agreement; and/or

   c. Claims made by employees or subcontractors or subcontractors' employees, who are deployed by the Bidder, against the Bank; and/or

   d. Breach of any of the term of this RfP document and/or of the agreement to be entered subsequent to this RfP or breach of any representation or false representation or inaccurate statement or assurance or covenant or warranty by the successful Bidder under this RfP document and/or of the agreement to be entered subsequent this RfP; and/or

   e. Negligence or gross misconduct attributable to the Bidder or its employees or sub-contractors.

f.  Any or all Deliverables or Services infringing any patent, trademarks, copyrights or such other Intellectual Property Rights; and/or

g.  Breach of confidentiality obligations of the Bidder contained in this RfP document; and/or

h.  The use of unlicensed and illegal Software and/or allied components by the successful Bidder

2.  The Bidder will have to at its own cost and expenses defend or settle any claim against the Bank that the Deliverables and Services delivered or provided under this RfP document infringe a patent, utility model, industrial design, copyright, trade secret, mask work or trade mark in the country where the Deliverables and Services are used, sold or received, provided the Bank:

a.  Notifies the Bidder in writing; and

b.  Cooperates with the Bidder in the defence and settlement of the claims.

3.  The Bidder shall not be liable for defects or non-conformance resulting from:

a.  Software, hardware, interfacing not approved by Bidder; or

b.  Unauthorized modification of Software or any individual product supplied under this RfP document, or Bank's failure to comply with any mutually agreed environmental specifications.

c.  Use of a Deliverable in an application or environment for which it was not designed or not contemplated under this Agreement,

d.  Modification of a Deliverable by anyone other than Bidder where the unmodified version of the Deliverable would not be infringing.

## 6.43 Limitation of liabilities

Save and except the liability under Section of 'IPR Infringement' in Clause 6.40 and indemnity provision in Clause 6.41 [1(f,g,h)] herein above, in no event shall either party be liable with respect to its obligations under or arising out of this agreement for consequential, exemplary, punitive, special, or incidental damages, including, but not limited to, loss of data / programs or lost profits, loss of goodwill, work stoppage, computer failure, loss of work product or any and all other commercial damages or losses whether directly or indirectly caused, even if such party has been advised of the possibility of such damages. The aggregate liability of bidder / service provider, arising at any time shall not exceed the total contract value.

## 6.44    Confidentiality

The RFP document is confidential and is not to be disclosed, reproduced, transmitted, or made available by the Recipient to any other person. Bank may update or revise the RFP document or any part of it. The Recipient acknowledges that any such revised or amended document is received subject to the same confidentiality undertaking. The Recipient will not disclose or discuss the contents of the RFP document with any officer, employee, consultant, director, agent, or other person associated or affiliated in any way with Bank or any of its customers or suppliers without the prior written consent of Bank.

This tender document contains information proprietary to the Bank. Each recipient is entrusted to maintain its confidentiality. It should be disclosed only to those employees involved in preparing the requested responses. The information contained in the tender document may not be reproduced in whole or in part without the express permission of the Bank. Disclosure of any such sensitive information to parties not involved in the supply of contracted services will be treated as breach of trust and could invite legal action. This will also mean termination of the contract and disqualification of the said Bidder.

 "Confidential Information" means any and all information that is or has been received by the Bidder ("Receiving Party") from the Bank ("Disclosing Party") and that:

   i.    relates to the Disclosing Party; and

   ii.    is designated by the Disclosing Party as being confidential or is disclosed in circumstances where the Receiving Party would reasonably understand that the disclosed information would be confidential or

   iii.    is prepared or performed by or on behalf of the Disclosing Party by its employees, officers, directors, agents, representatives or consultants.

   iv.    without limiting the generality of the foregoing, Confidential Information shall mean and include any information, data, analysis, compilations, notes, extracts, materials, reports, specifications or other documents or materials that may be shared by the Bank with the Bidder.

   v.    "Confidential Materials" shall mean all tangible materials containing Confidential Information, including, without limitation, written or printed documents whether machine or user readable.

1.    The Receiving Party shall, at all times regard, preserve, maintain and keep as secret and confidential all Confidential Information and Confidential Materials of the Disclosing Party howsoever obtained and agrees that it shall not, without obtaining the written consent of the Disclosing Party:

2. Unless otherwise agreed herein, use any such Confidential Information and materials for its own benefit or the benefit of others or do anything prejudicial to the interests of the Disclosing Party or its customers or their projects.

3. In maintaining confidentiality hereunder the Receiving Party on receiving the confidential information and materials agrees and warrants that it shall:

   a. Take at least the same degree of care in safeguarding such Confidential Information and materials as it takes for its own confidential information of like importance and such degree of care shall be at least, that which is reasonably calculated to prevent such inadvertent disclosure;

   b. Keep the Confidential Information and Confidential Materials and any copies thereof secure and in such a way so as to prevent unauthorized access by any third party;

   c. Limit access to such Confidential Information and materials to those of its directors, partners, advisers, agents or employees, sub contractors and contractors who are directly involved in the consideration/evaluation of the Confidential Information and bind each of its directors, partners, advisers, agents or employees, sub contractors and contractors so involved to protect the Confidential Information and materials in the manner prescribed in this document; and

   Upon discovery of any unauthorized disclosure or suspected unauthorized disclosure of Confidential Information, promptly inform the Disclosing Party of such disclosure in writing and immediately return to the Disclosing Party all such Information and materials, in whatsoever form, including any and all copies thereof.

4. The Receiving Party who receives the confidential information and materials agrees that on receipt of a written demand from the Disclosing Party:

   a. Immediately return all written Confidential Information, Confidential materials and all copies thereof provided to, or produced by it or its advisers, as the case may be, which is in Receiving Party's possession or under its custody and control;

   b. To the extent practicable, immediately destroy all analyses, compilations, notes, studies, memoranda or other documents prepared by it or its advisers to the extent that the same contain, reflect or derive from Confidential Information relating to the Disclosing Party;

   c. So far as it is practicable to do so immediately expunge any Confidential Information relating to the Disclosing Party or its projects from any HW or other device in its possession or under its custody and control; and

   d. To the extent practicable, immediately furnish a certificate signed by its director or other responsible representative confirming that to the best of his/her knowledge, information and belief, having made all proper enquiries the requirements of this paragraph have been fully complied with.

5. The restrictions in the preceding clause shall not apply to:

   a. Any information that is publicly available at the time of its disclosure or becomes publicly available following disclosure (other than as a result of disclosure by the Disclosing Party contrary to the terms of this document); or any information which is independently developed by the Receiving Party or acquired from a third party to the extent it is acquired with the valid right to disclose the same.

   b. Any disclosure required by law or by any court of competent jurisdiction, the rules and regulations of any recognized stock exchange or any enquiry or investigation by any governmental, statutory or regulatory body which is lawfully entitled to require any such disclosure provided that, so far as it is lawful and practical to do so prior to such disclosure, the Receiving Party shall promptly notify the Disclosing Party of such requirement with a view to providing the Disclosing Party an opportunity to obtain a protective order or to contest the disclosure or otherwise agree to the timing and content of such disclosure.

   c. The Confidential Information and materials and all copies thereof, in whatsoever form shall at all times remain the property of the Disclosing Party and its disclosure hereunder shall not confer on the Receiving Party any rights whatsoever beyond those contained in this document.

6. The confidentiality obligations shall survive the expiry or termination of the agreement between the Bidder and the Bank.

## 6.45    Corrupt and fraudulent practice

1. As per Central Vigilance Commission (CVC) directives, it is required that Bidders / Suppliers / Contractors observe the highest standard of ethics during the execution of this RfP and subsequent contract(s). In this context, the bidders are requested to note the following:

   a. "Corrupt Practice" means the offering, giving, receiving or soliciting of anything of value to influence the action of an official in the procurement process or in contract execution.

   b. "Fraudulent Practice" means a misrepresentation of facts in order to influence a procurement process or the execution of contract to the detriment of the Bank and includes collusive practice among bidders (prior to or after bid submission) designed to establish bid prices at artificial non- competitive levels and to deprive the Bank of the benefits of free and open competition.

   c. The Bank reserves the right to declare a bidder ineligible, either indefinitely or for a stated period of time, to be awarded a contract if at any time it determines

that the bidder has engaged in corrupt or fraudulent practices in competing for or in executing the contract.

## 6.46    Resolution of Disputes

1.    It will be the Bank's endeavour to resolve amicably any disputes or differences that may arise between the Bank and the Bidder from misconstruing the meaning and operation of the Tender and the breach that may result.

2.    In case of Dispute or difference arising between the Bank and a Bidder relating to any matter arising out of or connected with this agreement, such disputes or difference shall be settled in accordance with the Arbitration and Conciliation Act, 1996. The Arbitrators shall be chosen by mutual discussion between the Bank and the Bidder OR in case of disagreement each party may appoint an arbitrator and such arbitrators may appoint an Umpire before entering on the reference. The decision of the Umpire shall be final.

3.    The Bidder shall continue to work under the Contract during the arbitration proceedings unless otherwise directed in writing by the Bank or unless the matter is such that the work cannot possibly be continued until the decision of the Arbitrator or the umpire, as the case may be, is obtained.

4.    Arbitration proceedings 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 English.

5.    Notwithstanding anything contained above, in case of dispute, claim & legal action arising out of the contract, the parties shall be subject to the jurisdiction of courts at Mumbai, India only.

6.    Any notice given by one party to the other pursuant to this Contract shall be sent to the other party in writing or by fax and confirmed in writing to the other party's specified address. The same has to be acknowledged by the receiver in writing.

7.    A notice shall be effective when delivered or on the notice's effective date, whichever is later.

8.    No conflict between Bidder and SIDBI will cause cessation of services. Only by mutual consent the services will be withdrawn.

## 6.47    Grievances Redressal Mechanism

Bank has a grievances redressal mechanism for its customers and designated grievances redressal officers. The bank would use the same mechanism to address the grievances, if any, of the customers related to the services being rendered within the ambit of this RfP.

## 6.48    Force Majeure

1.  Successful Bidder shall not be liable for forfeiture of its performance security, liquidated damages or termination for default, if and to the extent that its delay in performance or other failure to perform its obligations under the contract subsequent to this RfP is the result of an event of Force Majeure.

2.  If a Force Majeure situation arises, the Bidder shall promptly notify the Bank in writing of such condition, the cause thereof and the change that is necessitated due to the conditions. Until and unless otherwise directed by the Bank in writing, the Bidder shall continue to perform its obligations under the Contract as far s is reasonably practical, and shall seek all reasonable alternative means for performance not prevented by the Force Majeure event.

3.  In such a case, the time for performance shall be extended by a period(s) not less than the duration of such delay. If the duration of delay continues beyond a period of three months, SIDBI and the successful bidder shall hold consultations with each other in an endeavour to find a solution to the problem

4.  In the event of the Force Majeure conditions continuing for a period of more than three months the parties shall discuss and arrive at a mutually acceptable arrangement.

## 6.49 Miscellaneous

1.  Bidder is expected to peruse all instructions, forms, terms and specifications in this RfP and its Annexures.

2.  Bidder would undertake to provide appropriate human as well as other resources (PC/laptop etc) required, to execute the various tasks assigned as part of the project, from time to time.

3.  SIDBI shall not be held liable for additional costs incurred during any discussion on contracts or for any work performed in connection therewith.

4.  The offers containing erasures or alterations will not be considered. There should be no hand-written material, corrections or alterations in the offer. Technical details must be completely filled up. SIDBI may treat proposals not adhering to these guidelines as unacceptable and thereby the proposal may be liable to be rejected.

5.  Bidder shall promptly notify SIDBI of any event or conditions, which might delay the completion of project in accordance with the approved schedule and the steps being taken to remedy such a situation.

6.  Bidder shall indemnify, protect and save SIDBI against all claims, losses, costs, damages, expenses, action suits and other proceedings, resulting directly or indirectly from an act or omission of Bidder, its employees, its agents, in the performance of the services provided by contract, infringement of any patent, trademarks, copyrights etc.

or such other statutory infringements in respect of all components provided by Bidder as part of the delivery to fulfill the scope of this project.

7. Depending on requirement, SIDBI may decide to move its project site to any of its other locations during the contract period. Bidder will continue to provide the respective services at the new location, if so decided, without any extra cost.

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

9. Bidder is obliged to give sufficient support to SIDBI's staff, work closely with SIDBI's staff, act within its own authority, and abide by directives issued by SIDBI that are consistent with the terms of the order. Bidder is responsible for managing the activities of its personnel, and will hold itself responsible for any misdemeanours.

10. SIDBI reserves the exclusive right to make any amendments/ changes to or cancel any of the above actions or any other action related to this RfP.

11. Personnel engaged by the bidder for performance of its obligations under the work, shall, for all purpose, including applicability of law and welfare enactments, be the employee/staff of the bidder and they shall have no claim to be appointed in the services of the bank. Bidder shall take suitable measures for them in this regard.

❈  ❈  ❈  ❈  ❈  ❈

# 7.    Minimum Eligibility Criteria

Proposals not complying with the 'Minimum Eligibility criteria' are liable to be rejected and will not be considered for further evaluation. The proposal should adhere to the following minimum eligibility criteria.

| S. N. | Criteria | Supporting Documents Required |
|---|---|---|
| | ➢ **Incorporation & Operation** | |
| 1. | The Bidder should be either a Government Organization/ PSU/ PSE/ partnership firm or a limited Company under Indian Laws or /and an autonomous Institution approved by GOI/RBI promoted. | a. <u>Partnership firm</u>: Certified copy of Partnership Deed  OR<br><br><u>Limited Company</u>: Certified copy of Certificate of Incorporation and Certificate of Commencement of Business.<br>b. Reference of Act/Notification |
| 2. | The Bidder should have been in existence in India and must be engaged in the business of Managed services of IT infrastructure in India for at least five years as on 30.09.2015.<br>(In case of mergers / acquisition / restructuring or name change, the date of establishment of the earlier / original partnership firm/limited company will be taken into account). | a. <u>Partnership firm</u>: Certified copy of Partnership Deed. OR<br><br>Limited Company: Certified copy of Certificate of Incorporation and Certificate of Commencement of Business.<br>b. Reference of Act/Notification<br>c. For other eligible entities: Applicable documents.<br>d. Copy of Work order / agreement along with completion certificate for completed projects. |
| 3 | The Bidder should have an office registered in India.  One of its offices must be in Mumbai to handle the project smoothly. | a. Self declaration with address of registered office and local office at Mumbai along with contact details on letter-head of the bidder duly signed by authorized signatory of the bidder. |
| 4 | Compliance of Statutory & Regulatory guidelines towards clause # 4.8.4 under Chapter 4 : Project Scope. | a. Self declaration on letter-head of the bidder duly signed by authorized signatory of the bidder |

| | | |
|---|---|---|
| | ➢ **Financials** | |
| 5. | The bidder should have minimum annual turnover of INR 200 Crore during any two of the last three financial years ending March 2015, out of Indian Operations. | a. Copy of Auditor certificate for the financial years 2012-13, 2013-14 and 2014-15. <br> b. Copies of last three years' balance sheet |
| 6. | The bidder should have positive networth and cash profit (i.e. no cash loss) in 2 years out of last 3 years. | c. Copies of last three years' Profit & Loss Statement. |
| | ➢ **Experience** | |
| 7. | The respondent must have experience of **on-site IT infrastructure management**, similar to scope of this RfP, in at least **two** All India Public Financial Institutions or Scheduled Commercial Banks having at least 100 branches spread across multiple states/regions in India, where <br> i) The bidder has set up facilities for centralized management of IT infrastructure at the customer's premises. <br> ii) The bidder commenced its referred services at least one year back and the contract shall be in effect till next six months as on January 01, 2016. | a. Relevant credential letters supporting the claim from the respective organization submitted along with contact details of the organization. <br> b. Copy of Work order / agreement along with completion certificate for completed projects. |
| 8. | The bidder should have experience in **maintaining and managing heterogeneous networks** like MPLS, LL wireless along with networking & security components such as routers, switches, firewalls, IPS/IDS of at least two All India Public Financial Institutions or Scheduled Commercial Banks each having at least 100 offices across India. | a. Relevant credential letters supporting the claim from the respective organization submitted along with contact details of the organization. <br> b. Copy of purchase order / agreement signed between the parties and bidder |

| | | |
|---|---|---|
| 9. | The respondent should have experience of delivering **services based on ITIL framework of service management** in at least two all India Public Institutions. | a. Relevant credential letters supporting the claim from the respective organization submitted along with contact details of the organization.<br><br>b. Work order along with completion certificate for completed projects. |
| 10. | The bidder must have its own technology Towers / Verticals / Service line internally in the organisation for providing support to the on-site team in case of critical technical issues. | a. Relevant details along with contact information of tower/verticals' head must be given in form of certificate.<br><br>b. Relevant Credential Letters. |
| 11. | The bidder must be having its own service support centre setup in Mumbai with skilled resources from where the governance of this project shall be carried out. | a. Relevant details along with contact information of service center must be given in form of certificate. |
| | ➢ **Credentials** | |
| 12. | The bidder should have at least two of the accreditations / certifications out of ISO 9001, ISO 20000, ISO/IEC 27001, ISO/IEC 27002. The bidder must furnish valid certificate copies | a. Copy of relevant certificates |
| 13. | The bidder should not have been black-listed by any Public Financial Institutions, Public Sector Bank, RBI or IBA or any other Government agencies. Bidder must certify to that effect. | a. Self declaration to this effect on bidder's letter head signed by bidder's authorized signatory as per Annexure-IV. |

**Note:**

1. Subcontracting of any work related to the scope of RFP is not allowed except for the L1 level of resource(s).

2. The references of the customers must be submitted with official contact details for verification. References which cannot be verified with provided contact details won't be considered as valid evidences.

3. Those who fulfill all the eligibility criteria as mentioned above would be eligible to take part in this bid exercise.

4. Details and corresponding documents as required for all the Technical Parameters stipulated under section 8.2.2 submitted by Bidders

5. The fulfillment of above eligibility criteria except items 4 & 5 above would be ascertained as of 30.09.2015.

6. All such experience/reference of services must be based on on-site (Customer's premises) service delivery model.

7. Experience of implementation of Core Banking Solution or any other software project shall not be considered towards the experience/reference of services, mentioned above.

❊ ❊ ❊ ❊ ❊ ❊

# 8.    Evaluation Methodology

## 8.1    Objective

1.    The objective of this evaluation methodology is to facilitate the selection of one Service Provider (SP) ensuring technically superior and professional services at optimal cost.

2.    The selected bidder will be entrusted with end-to-end responsibility of handling most critical IT services of the bank for fairly long period of time of five years.

3.    The project is based on fixed cost and the selected bidder has to deliver the services with performance level set out in this RfP document as 'Service Level Agreement' (SLA).

## 8.2    Evaluation process

1.    The Bank has adopted a Three (3) bid processes in which the Bidder has to submit following bids in separate envelopes at the time of submission of bids as stipulated in this document.

      a. Eligibility Criteria

      b. Technical Bid

      c. Commercial Bids

2.    The Bank shall evaluate first the **'Eligibility Criteria'** bids and based on its evaluation, **'Technical Bids'** shall be undertaken for evaluation at the second stage. All 'Commercial bids' shall be opened for only the shortlisted bidders out of technical evaluation.

3.    The evaluation by the Bank will be undertaken by a Committee of Officials or/and representatives formed by the Bank and its decision will be final.

4.    **Normalization** - SIDBI reserves the right to go for normalization process after technical evaluation and accordingly may request all the bidders to submit revised bid (technical or commercial or both) to avoid any possible ambiguity in evaluation process or make apple-to-apple comparison or to bring further transparency in the evaluation process.

### 8.2.1    Evaluation of Eligibility Criteria

1. Bids submitted by all the bidders would be evaluated for eligibility as mentioned in the 'Minimum Eligibility Criteria' section. Bids not complying with the eligibility criteria are liable to be rejected and will not be considered for further evaluation.

2. Successful bids out of this stage would be considered for technical evaluation.

3. Bidders must submit the proof of all the credentials as required for evaluation of eligibility criteria. Claims of the bidders without verifiable facts won't be considered as credentials towards satisfying eligibility criteria.

### 8.2.2 Evaluation of Technical Bids

1. The technical bids will be evaluated for determining the continued eligibility of the Bidder for Project and compliance of the bids with the necessary technical requirements and scope of work of this tender.

2. SIDBI may seek specific clarifications from any or all the Bidder(s) at this stage. All the clarifications received within the stipulated time shall be considered for evaluation. In case satisfactory clarifications are not received from the bidders within the stipulated time, the respective technical parameters would be treated as non-compliant and decision to qualify thebidder shall be accordingly takenby SIDBI.

3. Technical bids would be evaluated on the following broad parameters :

| SN | Parameters | | Weightage % |
|----|------------|-----|-------------|
| A | **Credentials *** | | **20%** |
| B | **Technical Experience *** | | **30%** |
| | (1) DC - DR Services * | 20% | |
| | (2) Support Services * | 10% | |
| C | **Resource Deployment** | | **30%** |
| D | **Reference Feedback** | | **10%** |
| E | **Presentation** | | **10%** |
| | **Total** | | **100%** |
| \* Work orders / Assignments having commencement date prior to 1 year with effect from  30/09/2015 will only be considered. | | | |

4. The technical bid will be analyzed and evaluated, based on which the Relative Technical Score ($RS_{Tech}$) shall be assigned to each bid on the basis of parameters mentioned above.

5. **Relative Technical Score ($RS_{Tech}$)** for each vendor will be calculated as follows based on above parameters:

$$RS_{Tech} = T / T_{high} * 100$$

$RS_{Tech} = T / T_{high} * 100$

Where,

| | | |
|---|---|---|
| **RS_Tech** | = | Relative score obtained by the bidder |
| **T** | = | Technical score obtained by bidder |
| **T_High** | = | Highest Technical score secured among the Bidders |

6. Technical Bids receiving a $RS_{Tech}$ greater than or equal to a score of 80 (cut-off marks) will be eligible for consideration in the subsequent round of commercial evaluation.

7. If less than 3 bidders qualify as per above criteria ($RS_{Tech}>= 80$), SIDBI reserves the right to short list maximum top 3 bidders subject to $RS_{Tech}>= 75$.

8. Each of the above areas of evaluation is described in detail below based on which scoring will be done.

## 8.2.2.1    A. Credential

| S.N. | Criteria | Documents to be submitted | Criteria | | Marks |
|---|---|---|---|---|---|
| **A.** | **Credentials** | | | | **100** |
| **1** | **Approach & methodology** | | | | **69** |
| | **Project Management & Governance** | | | | 30 |
| | 1. Understanding SIDBI's requirement, concern, vision and IT strategy<br>2. Project organisation; Methodology of proposed governance, Processes defined for Management of the project<br>3. Plan of project communication<br>4. Plan of quality management<br>5. Change control mechanism<br>6. Risk management/ mitigation strategy | Based on the detailed processes / procedures / approach submitted in the Bid Response | No Clarity | 0 | |
| | | | For each area | 5 | |
| | | | **Maximum Marks** | 30 | |
| | **Plan of implementation/transition and service delivery management** | | | | 24 |

| | | | | |
|---|---|---|---|---|
| 1. Implementation/ Rollout plans/ strategy<br>2. Plan of transition - Technical transition, Process transition, Resource mobilization, Administrative transition<br>3. Strategy of implementation of ITIL based framework of service delivery<br>4. Detailed description about capability of Application Support Partner in terms of resources / handing similar assignments supporting multiple applications<br>5. Capability in terms of availability of resources / techological experience / processes in meeting the timeline would be taken into account<br>6. Bidders approach towards bringing its knowledge, skills and experience for proposed SIDBI project in terms of providing ongoing services. | Based on Bid Response | No Clarity — 0<br>For each area — 4<br>**Maximum Marks — 24** | | |
| **Bidder's capability/competency** | | | | **15** |
| 1. Core competency of the bidder in such on-site outsourcing project as per proposed model of SIDBI, | Based on Bid Response | No Clarity — 0<br>For each area — 5<br>**Maximum Marks — 15** | | |
| **2** | **Application Support Credentials** | | | **31** |
| 1. No. of applications / business software products in Banking domain supported | Based on Bid Response | No Clarity — 0<br>For each Application — 2<br>For CBS — 10<br>**Maximum Marks — 26** | | |
| 2. Providing remote management services using all the proposed components of the tools and handling similar outsourcing project; | Based on Bid Response | No Clarity — 0<br>**Maximum Marks — 5** | | |

**Work orders / Assignments having commencement date prior to 1 year with effect from 30/09/2015 will only be considered.**

## 8.2.2.2    B. Technical Experience (DC- DR Operations)

| S.N. | Criteria | Documents to be submitted | Criteria | Marks |
|---|---|---|---|---|
| **B.** | **Experience (DC DR Operations)** | | | **100** |
| **1** | **DC / DR Management -  Banking References** | | | **60** |

| | | | | | |
|---|---|---|---|---|---|
| | Experience in below mentioned domains for providing services in all India Public Financial Institution or Scheduled Commercial Bank each having at least 100 offices across India.<br>- Database management,<br>- Server administration (Windows, Linux, Unix)<br>- Mail management<br>- SAN Administration<br>- Antivirus Management<br>- Enterprise Backup Management<br>- DC- DR Site synchronization<br>- DR site Live Switch over & Switch Back Experience<br>- Security management<br>- Management of DR Site | - Copy of Work order / agreement along with completion certificate for completed projects.<br>- Relevant credential letters Supporting the claim from the respective organization submitted along with contact details of the organization. | No Clarity | **0** | |
| | | | For each area | **6** | |
| | | | **Maximum Marks** | **60** | |
| **2** | **ITIL Implementation** | | | | **40** |
| | Number of assignments for management / implementation of HP EMS & Monitoring tool for ITIL -2011 Frame work involving at least any (two complete Modules OR at least 10 processes): Service Operation, Service Transition Service Design, Service Strategy, Continual Service Operation Experience should also be involving End to End Implementation & Management of Installation, Configuring, Customization, Patching of EMS tool. | - Copy of Work order / agreement. Completion certificate for completed projects.- Relevant credential letters Supporting the claim from the respective organization submitted along with contact details of the organization. | No Clarity | **0** | |
| | | | For each area | **10** | |
| | | | **Maximum Marks** | **40** | |

**Work orders / Assignments having commencement date prior to 1 year with effect from 30/09/2015 will only be considered.**

## 8.2.2.3    B. Technical Experience (Support Services)

| S.N. | Criteria | Documents to be submitted | Criteria | | Marks |
|---|---|---|---|---|---|
| **C.** | **Experience (Support Services)** | | | | **100** |
| **1** | **Application Support Management -  Banking References** | | | | **50** |
| | Number of applications supported for any all India Public Financial Institutions or Scheduled Commercial Banks each having at least 100 offices across India.<br>- Application Support | - Copy of Work order / agreement along with completion certificate for completed projects.<br>- Relevant credential letters Supporting the claim from the respective organization submitted along with contact details of the organization. | No Clarity | **0** | |
| | | | For each application | **2.5** | |
| | | | **Maximum Marks** | **50** | |
| **2** | **Help Desk  Management -  Banking References** | | | | **40** |

| | | | | |
|---|---|---|---|---|
| | Number of assignment for Managing Help Desk for any all India Public Financial Institutions or Scheduled Commercial Banks each having at least 100 offices across India.<br>- DC / DR Operations<br>- Application Support | - Copy of Work order / agreement. Completion certificate for completed projects.<br>- Relevant credential letters Supporting the claim from the respective organization submitted along with contact details of the organization. | No Clarity — 0<br>For each area — 10<br>**Maximum Marks — 40** | |
| **3** | **Application Support Management -  Banking References** | | | **10** |
| | Number of assignments for performing centralized EoD operation for any all India Public Financial Institutions or Scheduled Commercial Banks each having at least 100 offices across India.<br>- End of Day Services | - Copy of Work order / agreement. Completion certificate for completed projects.<br>- Relevant credential letters Supporting the claim from the respective organization submitted along with contact details of the organization. | No Clarity — 0<br>For each assignment — 5<br>**Maximum Marks — 10** | |

**Work orders / Assignments having commencement date prior to 1 year with effect from 30/09/2015 will only be considered.**

## 8.2.2.4   C. Resource Deployment

| S.N. | Criteria | Documents to be submitted | Criteria | Marks |
|---|---|---|---|---|
| **C.** | **Resource Planning** | | | **100** |
| 1 | Team Structure proposed for Project Governance | | No Clarity — 0<br>Defined — 10<br>**Maximum Marks — 10** | |
| 2 | Competence of the Project Manager | Based on the CV of resource being deployed & Bid response submitted. | No Clarity — 0<br>Defined — 10<br>**Maximum Marks — 10** | |
| 3 | Bidder's capability in terms of back-end technical resources to support on-site resources across service areas; <u>Separate Tower available for</u> DBA, WINTEL, SAN, Backup, AV, Network, Application Tools, Mail, LINUX/ Unix, Security | Based on the CV of resource being identified & Bid response submitted. | No Clarity — 0<br>For Each Tower — 1<br>**Maximum Marks — 10** | |
| 4 | <u>Profile of Data Centre service team</u> DBA, WINTEL, SAN, Backup, AV, Network, Application Tools, Mail, LINUX/ Unix, Security | Based on the CV of resource being deployed & Bid response submitted. | Experience of handing similar Environment for resource deployment<br>No Clarity — 0<br>Each Domain — 3<br>**Maximum Marks — 30** | |

| 5 | SQL knowledge / Experience (Min 1 year) | Based on the CV of resource being deployed & Bid response submitted. | No Clarity | **0** |
| | | | Resource deployed | **20** |
| | | | **Maximum Marks** | **20** |
| **6** | **Team Size** | | | **20** |
| | Project team structure; Sizing of the service team for different activities of data centre and helpdesk ; Profile of project manager; Profile of Data Centre service team; Profile of the proposed service team members for other activities; | Based on Bid response submitted. | Scoring for bidders for 'Resource Planning' will be done as follows subject to proper representation in each category; | |
| | | | 23-26 resource | **20** |
| | | | - Anything more than 26 up-to 30 | 6 |
| | | | Anything more than 30 | 0 |

**For manpower consideration the employee (L2 & above) should be on the payroll of the Bidding Company for at least 6 months. For this, the selected bidder is required to submit proof in the form of employment letter duly accepted by the employee or suitable declaration jointly signed by the Employer and Employee stating the date of joining on the Bidding Company's letter head should be submitted.**

## 8.2.2.5   D. Reference Feedback

| S.N. | Criteria | | Marks |
|------|----------|---|-------|
| **D** | **Customer Feedback** | | **100** |
| **1** | **General** | | **30** |
| | Overall satisfaction level of customer | 30 | |
| **2** | **Customer Feedback** | | **70** |
| | Type of Client/ Industry (Relevance of client with current expectations) and geographical spread/distribution of the offices of the referred customer. | 10 | |
| | Is the vendor providing on-site services using ITIL model? | 10 | |
| | Commitment of the bidder towards meeting defined SLAs. | 10 | |
| | Efficiency and effectiveness of data centre services | 10 | |
| | Efficiency and effectiveness of application support | 10 | |
| | Timeliness of providing services and meeting SLAs | 10 | |
| | Satisfied with the support offered by the vendor/ Odd hours support/ After office hours support | 10 | |

### 8.2.2.6    E. Presentation

| S.N. | Criteria | Documents to be submitted | Criteria | Marks |
|------|----------|---------------------------|----------|-------|
| E. | **Presentation** | | | **100** |
| | **Explanation of how the services being proposed by the bidder in achieving its objectives** | | | |
| | Bidder's clarity on the project scope | | | 20 |
| | Transition Management | | | 30 |
| | Service delivery methodology & Project Management | | | 40 |
| | Bidder's knowledge/experience of tools while demonstrating critical features of all the modules of the  HP BMS and HP OV EMS tools. | | | 10 |

## 8.3    Evaluation of Commercial Bids

1. In this phase, the Commercial Bids of the Bidders, who are found technically qualified in previous phase, will be taken for commercial evaluation.

2. The date for opening of commercial bids will be separately advised.

3. **Relative Technical Score (RS$_{Tech}$)** of the technically qualified bids would be announced before the representatives of the bidders and the commercial bids of those bidders would be opened for commercial evaluation.

4. Net Present Value (NPV) would be calculated for the value, quoted for all the five years, to arrive at derived commercial bid value for evaluation. [NPV formula of Microsoft Excel Worksheet shall be used for the purpose].

5. Discount rate will be considered by bank as **8.14%** for calculation of NPV.

6. The eligible bidder will be selected based on NPV L1 thus obtained.

7. The vendor, whose Net Present Value of the Commercial Bid (as per the format specified in Annexure – XVII Commercial Bid) is found to be the Lowest, will be selected for further discussion for finalizing contract / placing PO or LOI subject to satisfying all the terms and conditions defined in this RfP document.

❋    ❋    ❋    ❋    ❋    ❋

# END of DOCUMENT