



Bank of Baroda

**Request for Proposal for
Supply, Implementation and Maintenance of
HRMS, Payroll and PMS Solution**

Bank of Baroda

**3rd July 2018
RFP Reference: BCC:IT:PROC:110:35**



[A] Important Dates:

#	Particulars	Timeline
1	RFP Issuance Date	3rd July 2018
2	RFP Coordinator Name, Contact details (Bank)	1. Mr. Arnab Das, Sr. Manager (IT) 2. Contact No. - 022-66983237/ 1556 / 3228 3. Email: rfp.it.procurement@bankofbaroda.com
3	Last Date of Written request for Clarifications Before the Pre-bid Meeting	4:00 PM on 11 th July 2018
4	Pre-bid Meeting	11:00 AM on 12 th July 2018 at Bank of Baroda, Baroda Sun Tower, Bandra Kurla Complex, Mumbai – 400051
5	Mode of bid submission & online portal's URL	Mode: Online URL: https://bobtenders.abcprocure.com
6	Support details of Online Portal facilitator	M/s e-Procurement Technologies Limited Mr. Yashrajsinh Rathod Email: yashrajsinh@auctiontiger.net Phone: +91-79-40016815/800/874
7	Last Date of Submission of RFP Response (Online)	2:00 PM on 24 th July 2018
8	Eligibility Cum Technical Bid Opening Date (Online)	2:30 PM on 24 th July 2018
9	Commercial Bid	The commercial bids of only those vendors who qualify in both eligibility and technical evaluation will be opened. The date for opening of the commercial bid would be communicated separately to the technically eligible vendors.
10	Application Money	Rs. 25,000/- (Rupees Twenty Five Thousand only)
11	Bid Security (Earnest Money Deposit)	Rs. 10,00,000/- (Rupees Ten Lakh Only)

[B] Important Clarifications:

Following terms are used in the document interchangeably to mean:

1. Bank, BOB means 'Bank of Baroda'
2. Recipient, Respondent, Vendor, Bidder, SI (System Integrator) means the respondent to the RFP document
3. RFP means the Request For Proposal document
4. Proposal, Bid means "Response to the RFP Document"
5. Tender means RFP response documents prepared by the vendor and submitted to Bank of Baroda
6. PMS means Performance Management Solution
7. Reporting Authority means supervisor or an employee's reporting manager
8. "KRA" means key result areas or KPI – parameters on which employees will be evaluated
9. OSD means Original Solution Developer
10. AMC means Annual Maintenance Charges
11. ATS means Annual Technical Support
12. HRMS means Human Resource Management System
13. Payroll means the total amount of money that a company pays to its employees. A company's records of its employees' salaries and wages, bonuses, and withheld taxes.

Confidentiality:

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



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Introduction

1.1 Introduction and Disclaimer

This Request for Proposal (RFP) document has been prepared solely for the purpose of enabling Bank of Baroda (“the Bank”) to select a vendor for Supply, Implementation and Maintenance of HRMS, Payroll & PMS Solution.

The RFP document is not recommendation, offer or invitation to enter into a contract, agreement or any other arrangement, in respect of the services. The provision of the services is subject to observance of selection process and appropriate documentation being agreed between the Bank and any successful vendor as identified by the Bank, 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 true and reliable at the date obtained but does not purport to provide all of the information that may be necessary or desirable to enable an intending contracting party to determine whether or not to enter into a contract or arrangement with the Bank in relation to the provision of services. Neither the Bank nor any of its directors, officers, employees, agents, representative, contractors, or advisers gives any representation or warranty (whether oral or written), express or implied as to the accuracy, updating or completeness of any writings, information or statement given or made in this RFP document. Neither the Bank nor any of its directors, officers, employees, agents, representative, contractors, or advisers has carried out or will carry out an independent audit or verification or investigation or due diligence exercise in relation to the contents of any part of the RFP document.

1.3 Costs Borne by Respondents

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

1.4 No Legal Relationship

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

1.5 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.

1.6 Evaluation of Offers

Each Recipient acknowledges and accepts that the Bank may, in its sole and absolute discretion, apply whatever criteria it deems appropriate in the selection of vendor, not limited to those selection criteria set out in this RFP document.



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.

1.7 Errors and Omissions

Each Recipient should notify the Bank of any error, fault, omission, or discrepancy found in this RFP document but not later than last date of receiving clarifications specified in Section 2.6.

1.8 Standards

All standards to be followed will adhere to Bureau of Indian Standards (BIS) specifications or other acceptable standards.

1.9 Acceptance of Terms

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



2. RFP Response terms

2.1 Requests for Information

Recipients are required to direct all communications for any clarification related to this RFP to RFP Coordinator.

All questions relating to the RFP, technical or otherwise, must be in writing and addressed to the addresses given in point “[A] Important Dates” above. Interpersonal communications will not be entered into and a Respondent will be disqualified if attempting to enter into such communications. The Bank will try to reply, without any obligation in respect thereof, every reasonable question raised by the Respondents in the manner specified. Respondent will be disqualified if attempting to enter into such communications. All queries / clarifications requested must be addressed in the format as per Annexure 06 – Comments Format only.

The Respondent must communicate the same in writing on or before last date of receiving request for clarification as per details given in RFP. The Bank will try to reply, without any obligation in respect thereof, every reasonable query raised by the Respondents in the manner specified. However, the Bank will not answer any communication initiated by the Respondents later than date given in “[A] Important Dates – Last Date of Written Request for Clarifications before the Pre-bid Meeting”

However, 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 (es) as responses to queries will only be provided to the Respondent via email. If Bank in its sole and absolute discretion deems that the originator of the query will gain an advantage by a response to a question, then Bank reserves the right to communicate such response to all Respondents.

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

2.2 Disqualification

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

2.3 Timeframe

The timeframe provided in point “[A] Important Dates” above is for the overall selection process. The Bank reserves the right to vary this timeframe at its absolute and sole discretion and without providing any notice/intimation or reasons thereof. Changes to the timeframe will be relayed to the affected Respondents during the process. The time schedule will be strictly followed. Interested parties are expected to adhere to these timelines. However, the Bank reserves the right to change the aforementioned timelines.



2.4 Language of Tender

The Tender prepared by the Vendor, as well as all correspondence and documents relating to the Tender exchanged by the Vendor and the Bank and supporting documents and printed literature shall be in English language only.

2.5 RFP Validity period

RFP responses must remain valid and open for evaluation according to their terms for a period of at least 180 days from the RFP opening date. The Bank shall have the right at its sole and absolute discretion to continue the assignment/contract on the selected vendor for future requirement for various items/activities as described in the RFP after expiry of current assignment period.

2.6 RFP Response Submission Details

Bidder should submit their Eligibility Cum Technical and Commercial bids Online i.e. through <https://bobtenders.abcprocure.com> as mentioned in **Annexure 01**

Application Money as mentioned in “[A] Important Dates – 8.Application Money” must be deposited through RTGS (Real Time Gross Settlement) / NEFT Cheque / Demand Draft / Pay Order favoring Bank of Baroda, payable at Mumbai, which is non-refundable as mentioned in section 2.8.1. Vendor should submit the bid security as mentioned section 2.9 along with the bid response. The details of the transaction viz. scanned copy of the receipt of making transaction is required to be uploaded on e-procurement website at the time of “final online bid submission

The RFP response without the accompanying amount towards Application Money /Bid Security is liable to be rejected.

Commercial Bid - Annexure 14 (Commercial bid must be sealed and signed by authorized signatory by the bidder and must be submitted through online mode and after encryption by e-signer tool only).

IMPORTANT POINTS TO BE NOTED

- a) If any upload is found to contain technical and commercial bid together or commercials are provided along with the technical bid, then that offer will be rejected outright. The Commercial bid submission as part of the RFP response without encryption are liable to be rejected.
- b) The RFP response documents should be submitted through online mode.
- c) All letters must be addressed to the following:
The General Manager,
Chief Technology Officer & Head IT Projects & CRM
Bank of Baroda, Baroda Sun Tower
C-34, G-Block, BKC, Mumbai-51
- e) Only one submission of response to RFP by each Respondent will be permitted.
- f) All responses would be deemed to be irrevocable offers / proposals from the Respondent and may if accepted by the Bank form part of the final contract between the Bank and selected Respondent.



- g) The response should be organized and all the pages of the proposal including annexure and documentary proofs should be numbered and be digitally signed by the authorized signatory.
- h) Unsigned responses would be treated as incomplete and are liable to be rejected.

2.7 Commercial Bid

- ▶ The Commercial Offer should give all relevant price information and should not contradict the Technical Offer in any manner. There should be no hidden costs for items quoted.
- ▶ The offer must be made in Indian Rupees only and the offer should include all applicable taxes and other charges, if any. The suggested format for submission of Commercial offer is mentioned in Annexure 14.
- ▶ The Bank is not responsible for the arithmetical accuracy of the bid. The vendors will have to ensure all calculations are accurate. The Bank at any point in time for reasons whatsoever is not responsible for any assumptions made by the Vendor. The Bank at a later date will not accept any plea of the vendor or changes in the commercial offer for any such assumptions.

2.8 Lodgment of RFP Response

2.8.1 Application Money

Application Money as mentioned in “[A] Important Dates – Application Money” must be deposited through RTGS (Real Time Gross Settlement) / NEFT (National Electronic Fund Transfer) favoring BANK OF BARODA, BANK ACCOUNT NO. 2904040000418, BANK IFSC CODE - BARB0BANEAS.

Bidders shall have to submit Application Money through RTGS/NEFT channel during the “Downloading of Tender Document” period. However, such transaction should be done 2 days before the specified timeline for bid submission as per tender schedule. The details of the transaction viz. scanned copy of the receipt of making transaction is required to be uploaded on e-procurement website at the time of “Final online bid submission”. Bidders must not submit the Application Money in parts i.e. whole amount of Application Money should be deposited in one instance. The Bank may, at its discretion, reject any vendor where application money has not been furnished with RFP response.

2.8.2 RFP Response Submission - Closing Date

RFP Response should be received by the officials as indicated in “[A] Important Dates – 5. Last Date of Submission of RFP Response (Closing Date)”.

2.9 Earnest Money Deposit

The vendors will have to submit the Earnest Money Deposit (EMD – Bid Security) while submitting their bid at the rate stipulated by the bank in point “[A] Important Dates – Bid Security (Earnest Money Deposit)”. The earnest money deposit is required to protect the Bank against the risk of Vendor’s conduct.

The Bid Security shall be denominated in the Indian Rupees only and shall be paid through



RTGS (Real Time Gross Settlement) / NEFT (National Electronic Fund Transfer) favoring **BANK OF BARODA, BANK ACCOUNT NO. 29040400000418, BANK IFSC CODE - BARB0BANEAS** or a bank guarantee of an equal amount issued by a Commercial Bank located in India (other than Bank of Baroda), which is valid for 8 months, in the form provided in the RFP (Annexure 04 - Bid Security Form). Any bid not secured in accordance with the above will be rejected by Bank of Baroda as non-responsive.

The bid security money deposit of a vendor may be forfeited or the bank guarantee in lieu of RTGS/NEFT may be invoked by the Bank:

- a) If the vendor withdraws its bid during the bid validity period.
- b) In case of the successful vendor, if vendor fails to:
 - i) sign the contract within 1 month of issue of contract order / letter of intent for any reason whatsoever
 - ii) Furnish performance guarantee within 30 days from the date of Bank placing the order or signing the contract whichever is earlier for any reason whatsoever.

Unsuccessful Vendor's - Earnest money deposit or bank guarantee will be returned by the Bank within two weeks from closure of the RFP. No interest shall be paid on earnest money deposit to unsuccessful Vendors.

Successful Vendor – Earnest money deposit or bank guarantee will be discharged upon the vendor furnishing the performance guarantee. The EMD of the successful vendor may be forfeited or the bank guarantee in lieu of EMD may be invoked by the Bank if the vendor fails to furnish performance guarantee within 30 days from the date of Bank placing the order for any reason whatsoever and / or the vendor refuses to accept and sign the contract within 1 month of issue of contract order / letter of intent for any reason whatsoever.

MSEs (Micro and Small Enterprise (MSE) are exempted from paying the application money and Earnest Money deposit amount for which the concerned enterprise needs to provide necessary documentary evidence. For MSEs, Government of India provisions shall be considered while evaluating the tender.

2.10 Registration of RFP Response

Eligibility Cum Technical and Commercial bids shall be uploaded online. 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 the 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, to disclose the contents of the submission to other Recipients who have registered a submission and to disclose and/or use the contents of the submission as the basis for any resulting RFP process, notwithstanding any copyright or other intellectual property right of the Recipient that may subsist in the submission or accompanying documents.

2.11 Late RFP Response Policy

RFP responses received after the deadline for lodgment of RFPs may be noted by the



Bank and may be considered and evaluated by the evaluation team at the absolute discretion of the Bank. Respondents are to provide detailed evidence to substantiate the reasons for a late RFP submission. It should be clearly noted that the Bank has no obligation to accept or act on any reason for a late submitted response to RFP. The Bank has no liability to any Respondent who lodges a late RFP response for any reason whatsoever, including RFP responses taken to be late only because of another condition of responding. System may not allow bidders for late submission in case of online submission.

2.12 Notification

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

2.13 Formats of Bids

The vendors should use the formats prescribed by the Bank in the tender for submitting both technical and commercial bids.

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

2.14 Contract period

The Contract with the selected bidder will be valid for a period of 5 years from the start date of subscription by Bank. The contract will be deemed completed only when all the contracted services by the Bank are provided and accepted by the Bank as per the requirements of the contract executed between the Bank and the Vendor. The Bank will have the right to renegotiate these prices at the end of the contract period.

2.15 Grievance Redressal

Any vendor who claims to have a grievance against a decision or action with regards to the provisions of this RFP may file a request to the General Manager (CTO & Head – IT Projects & CRM) at gm.itprojects.bcc@bankofbaroda.com. It may please be noted that the grievance can be filed by only that vendor who has participated in Procurement proceedings in accordance with the provisions of this RFP.



3. Project Details

3.1 Introduction and Project Overview

Bank of Baroda is one of the largest public sector bank (PSU) in India with a branch network of over 5500+ branches in India and 100+ branches/offices overseas including branches of our subsidiaries, distributed in 25 countries.

Bank of Baroda is rolling out the Request for Proposal (RFP) to select a bidder for Supply, Implementation and Maintenance of HRMS, Payroll & PMS Solution for its employees.

3.2 Purpose

Bank of Baroda is an Indian state-owned bank headquartered in Vadodara (Gujarat). It has its corporate office at C-26, G-Block, Bandra Kurla Complex, Bandra East, Mumbai - 400051.

The RFP document has been prepared solely to enable the Bank to select a vendor for Supply, Implementation and Maintenance of HRMS, Payroll & PMS Solution. This system needs to be implemented for all the employees of the Bank based out of India. It will also include employees deputed in domestic & international subsidiaries and branches. All employees in other subsidiaries and RRBs will also be covered in the proposed system.

The Bank, for this purpose, invites proposal from Vendors who are interested in participating in this RFP who fulfill the eligibility criteria mentioned under Annexure 02 and are also in a position to comply with the technical requirement for Supply, Implementation and Maintenance of HRMS, Payroll & PMS Solution mentioned in Annexure 10. The participating vendor must agree all our terms & conditions mentioned under this RFP.

3.3 Project Scope

Bank intends to implement & maintain HRMS, Payroll & PMS Solution as per banks requirement mentioned in Annexure-10.

3.4 Infrastructure

The complete Supply, Implementation and Maintenance of HRMS, Payroll & PMS solution shall be part of the scope of the vendor. The vendor must provide necessary infrastructure support required for integration bank source systems like DWH, CBS etc.

As the implementation will be done in hybrid model, the Vendor needs to size the infrastructure (hardware, Operating System, Database and other related software) for the solution based on the volume and the growth indicated in the Annexure 10 – Technical Requirement (Project Scope) and propose the same as part of their technical bid submission. Bank may use existing IT infrastructure or procure separately the required infrastructure based on the sizing proposed by the vendor.

However the complete implementation, maintenance and support for HRMS, Payroll & PMS system shall be part of the scope of the vendor.

Vendor needs to accordingly provide sizing as part of the technical solution the complete IT infrastructure details like Server, Operating System, Database, Storage Capacity and other related requirements. The details should include.



- 1) List of Operating Systems (OS) and Databases (DB) on which the solution is compatible along with licensing details of the OS and DB for the complete solution (Including installations and replication at DC and DR).
- 2) Details of redundancy and security setup
- 3) Application architecture along with a detailed diagram including the infrastructure setup.
- 4) Implementation procedure / road map.
- 5) Server and related infrastructure specification required as part of the solution implementation (for both UAT and production phase) along with the quantity to meet the Bank's redundancy requirement.

The Vendor is responsible to arrive at the sizing independently based on the volume and the growth indicated in the Annexure 10 – Technical Requirement (Project Scope). The Bank is not responsible for any assumption made by the Vendor with respect to the sizing. In the event the sizing proposed by the Vendor does not meet the performance / service levels of the Bank the Vendor will at their cost carry out the necessary upgrades / replacements. The Bank has the right to deduct / recover from the vendor the required additional expenses which Bank may incur on account of such upgrades / replacements.

3.5 Service Levels and Uptime Guarantee

For details, please refer to Annexure 11 that details the service levels.

4. Evaluation process

A two bid system is adopted for selection of the vendor:

- ▶ Stage 1 –Eligibility Bid evaluation
- ▶ Stage 2 - Evaluation methodology for eligible bidders
 - Technical Bid Evaluation
 - Commercial Bid Evaluation
 - Weighted evaluation

During evaluation of the Tenders, the Bank, at its discretion, may ask the Vendor for clarification in respect of its tender. The request for clarification and the response shall be in writing, and no change in the substance of the tender shall be sought, offered, or permitted. The Bank reserves the right to accept or reject any tender in whole or in parts without assigning any reason thereof. The decision of the Bank shall be final and binding on all the vendors to this document and bank will not entertain any correspondence in this regard.

4.1 Eligibility Bid

Eligibility criterion for the Vendor to qualify this stage is clearly mentioned in Annexure 02 – Eligibility Criterion Compliance to this document. The vendor would need to provide supporting documents as part of the eligibility proof.



4.2 Evaluation Methodology for Eligible Bidder

After qualifying the eligibility criteria, the evaluation will be a three stage process. The stages are:

- ▶ Technical Bid Evaluation
- ▶ Commercial Bid Evaluation
- ▶ Weighted evaluation

The technical evaluation and the commercial evaluation shall have the weightage of 70% and 30% respectively and this weightage shall be considered for arriving at the successful bidder. The evaluation methodology vis-à-vis the weight-ages are as under:

○ **Technical Bid Evaluation**

The vendor needs to achieve a cut – off score of 70 marks in this evaluation stage to be qualified for commercial bid opening. Only those vendors who achieve the specified cut – off scores would be short-listed for Commercial Bid Evaluation. Further the vendor must score a minimum of 80% compliance in Technical and Functional Specifications compliance separately. Even if the vendor meets the 70 mark cut-off and does not meet this criterion of 80% compliance, the vendor would have deemed not to be meeting the RFP Technical requirements. The Technical Proposal will be evaluated for technical suitability and the criteria for evaluation of technical bids are as under:

Criteria	Evaluation Parameters	Sub Scores
The number of HRMS, Payroll & PMS Implementation carried out in the last 3 years (starting from 01-04-2015 till RFP submission date) **	For each Implementation 2 marks	10
Functional Specifications compliance	As per Functional Scoring Sheet in Annexure 10	25
Technical Specifications compliance	As per Technical Scoring Sheet in Annexure 10	25
Data Center existence in India or coming up in India within next 2 years	Data Center existence in India 5 Marks. Data Center coming up in India within next 2 years – 2 Marks	5



Criteria	Evaluation Parameters	Sub Scores
Technical Presentation on Proposed Solution by the Bidder	Technical presentation will be evaluated on the following parameters: 1. Proposed Solution (3 Marks) 2. IT architecture and approach & methodology (3 Marks) 3. Resource Planning (3 Marks) 4. Project Governance and Project Team (3 Marks) 5. Future Scalability (3 Marks) 6. The proposed HRMS, Payroll & PMS Solution include Mobile Solution handling employees. (10 Marks)	25
Product Demo In case Bank during this demonstration feels that any of the feature is not available and needs to be customized then no marks shall be allotted and if customization is not required and the feature is readily available then mark shall be allotted	Demonstration of in-depth understanding of the Bank's project technical and functional requirements. Major Criteria for demonstration (but not limited to) given in Annexure 10	10
TOTAL MARKS		100

**** Implemented for Banking Clients in India with user base of at least 25,000. Copies of Work order / client reference to be provided. Documentary proof for go live of implementation to be provided.**

Further the Bank's officials would visit reference sites provided by the Vendor if deemed necessary.

In case there is only one vendor having technical score of 70 or more, the Bank may, at its sole discretion, also consider the next highest technical score and qualify such vendor. In case, none of the participating vendors qualify on technical criteria and reach or exceed the cut-off score of 70, then the Bank, at its sole discretion, may qualify two vendors on the basis of the top 2 scores. However, the Bank at its discretion may reject the proposal of the Vendor or will not consider vendor below cutoff marks by relaxing as mentioned above, if in the Bank's opinion the Vendor could not present or demonstrate the proposed solution as described in the proposal or in case the responses received from the customer contacts / site visited are negative or the proposed solution does not meet the Bank's functional and technical requirement.

○ **Commercial Bid Evaluation**

The vendor who achieves the required cut – off technical score as part of technical

evaluation shall be qualified for commercial bid opening. The commercial bid would be evaluated based on a “Total Cost of Ownership” (‘TCO’) basis. The key considerations of the TCO would be the total payouts for entire project through the contract period of 3 years, discounted at 10% to arrive at the present value of the future cash outflows. The evaluation will be done as follows:

- ▶ The discounted rate will be calculated on yearly basis based on the formula $A/(1+i/100)^n$ where A= Total Value in each Year; i=10% and n =Year.
- ▶ The Present Value will be calculated for all components where the payment is recurring year on year. The Present Value for the component will start from the year of purchase of that component / start of the services (AMC) and shall be calculated till the end year of the contract. Further n - number of period will be ‘0’ in the year of purchase of that component / start of the services and subsequently increased by 1 for subsequent years.
- ▶ Any component / service for which the payment is a One Time Cost the NPV cost of the equipment / service for that year will be considered and the relevant year’s NPV cost will be added as part of the Present Value calculation for that year. Further the payment of the OTC component / service not being recurring in nature hence the present value for that component / service will be considered in the year of purchase only and not in subsequent years.

○ **Weighted Evaluation:**

On the basis of the combined weighted score for technical and commercial evaluation, the bidders shall be ranked in terms of the total score obtained. The proposal obtaining the highest total combined score in evaluation of quality and cost will be ranked as H-1 followed by the proposals securing lesser marks as H-2, H-3 etc. The proposal securing the highest combined marks and ranked H-1 shall be recommended for award of contract.

As an example, the following procedure can be followed:

A score (S) will be calculated for all qualified bidders using the following formula:

$$\frac{C_{low}}{C} \times 100 + T(1 - X)$$

C stands for discounted rate arrived basis of commercial evaluation;

C_{low} stands for the lowest discounted rate arrived basis of commercial evaluation.

T stands for technical evaluation score and

X is equal to 0.30.

#	Bidder	Technical Evaluation Marks (T)	Discounted Rate (C)	T * 0.70 (A)	[(C _{low} / C) x 100] x 0.30 (B)	Score (S = A +B)
1	AAA	75	120	52.5	25	77.5
2	BBB	80	100	56	30	86
3	CCC	90	110	63	27.3	90.3



In the above example, C_{low} is 100.

In the above example, CCC, with the highest score becomes the successful bidder.

In case of more than one vendor with equal highest score (S) upto three decimal, then number of decimal will be increased.

The decision of the Bank shall be final and binding on all the vendors to this document. The Bank reserves the right to accept or reject an offer without assigning any reason whatsoever.



5. Terms and conditions

5.1 General

5.1.1 General Terms

- 5.1.1.1 The Bank expects the vendor to adhere to the terms of this tender document and would not accept any deviations to the same.
- 5.1.1.2 The Bank expects that the vendor appointed under the tender document shall have the single point responsibility for fulfilling all obligations and providing all deliverables and services required by Bank to implement the proposed solution.
- 5.1.1.3 Unless agreed to specifically by the Bank in writing for any changes to the tender document issued the vendor responses would not be incorporated automatically in the tender document.
- 5.1.1.4 Unless expressly overridden by the specific agreement to be entered into between the Bank and the vendor, the tender document shall be the governing document for arrangement between the Bank and the vendor.
- 5.1.1.5 In case of reduction in prices due to technology advancement, the bank has the right to renegotiate the annual subscription / maintenance rates with the vendor.
- 5.1.1.6 Once the vendor sets up the data center in India, the bank has the right to get all its data migrated to the data center set in India at the highest priority with no additional cost.

5.1.2 Rules for Responding to this RFP

- 5.1.2.1 All responses received after the due date / time as mentioned in “[A] Important Dates – Last Date of Submission of RFP Response (Closing Date)” would be considered late and would be liable to be rejected.
- 5.1.2.2 All responses should be in English language. All responses by the vendor to this tender document shall be binding on such vendor for a period of 180 days after opening of the commercial bids
- 5.1.2.3 All responses including commercial and technical bids would be deemed to be irrevocable offers/proposals from the vendors and may be accepted by the Bank to form part of final contract between the Bank and the selected vendor. Vendors are requested to attach a letter from an authorized signatory attesting the veracity of information provided in the responses. Unsigned responses would be treated as incomplete and are liable to be rejected.
- 5.1.2.4 The technical and commercial bid, submitted cannot be withdrawn / modified after the last date for submission of the bids unless specifically permitted by the Bank. In case, due to unavoidable circumstances, the Bank does not award the contract within six months from the last date of the submission of the commercial bids, and there is a possibility to award the same within a short duration, the vendor would have the choice to maintain the EMD or bank guarantee in lieu of



EMD with the Bank or to withdraw the bid and obtain the security provided.

- 5.1.2.5 Either the Indian agent on behalf of the principal/ OEM or Principal/ OEM itself can bid but both cannot bid simultaneously for the same solution in this tender. If an agent submits bid on behalf of the Principal/ OEM, the same agent cannot submit a bid on behalf of another Principal/ OEM in this tender for the same solution.
- 5.1.2.6 The vendor may modify or withdraw its offer after submission, provided that, the Bank, prior to the closing date and time, and receives a written notice of the modification or withdrawal prescribed for submission of offers. No offer can be modified or withdrawn by the vendor subsequent to the closing date and time for submission of the offers.
- 5.1.2.7 The vendor is required to quote for all the components/services mentioned in the “Project scope” and all other requirements of this RFP. In case the vendor does not quote for any of the components/services, the response would be deemed to include the quote for such unquoted components/service. It is mandatory to submit the details in the formats provided along with this document duly filled in, along with the offer. The Bank reserves the right not to allow / permit changes in the technical specifications and not to evaluate the offer in case of non-submission of the technical details in the required format or partial submission of technical details.
- 5.1.2.8 In case of discrepancy in soft copy and hard copy of the bids, the vendors agree that Bank can consider hard copy as final and it will be binding on the vendor. The Bank in this case may also reject the offer outright.
- 5.1.2.9 Based on the Bank’s requirements as listed in this document, the vendor should identify the best-suited solution that would meet the Bank’s requirements and quote for the same. In case the vendor quotes more than one items against requirement and they have not specified which particular item quoted by them needs to be considered, then the response would be considered as improper and the whole tender submitted by the vendor is liable to be rejected. The vendor is expected to provide the best option and quote for the same.
- 5.1.2.10 Vendor must furnish requirements as per the formats provided in the RFP document.
- 5.1.2.11 In the event the vendor has not quoted for any mandatory items as required by the Bank and forming a part of the tender document circulated to the Vendor’s and responded to by the vendor, the same will be deemed to be provided by the vendor at no extra cost to the Bank.
- 5.1.2.12 In the event the Bank has not asked for any quotes for alternative prices, and the vendor furnishes the alternative price in the vendor’s financial bid, the higher of the prices will be taken for calculating and arriving at the Total Cost of Ownership. However payment by the Bank will be made at the lower price. The Bank in this case may also reject the offer outright.
- 5.1.2.13 In the event optional prices are not quoted by the vendor, for items where such



prices are a must and required to be quoted for, the highest price quoted by any of the participating vendor will be taken as the costs, for such alternatives and also for arriving at the Total Cost of Ownership for the purpose of evaluation of the Vendor. The same item has to be supplied by the Vendor free of cost

- 5.1.2.14 The Bank is not responsible for any assumptions or judgments made by the vendor for proposing and implementing the solution. The Bank's interpretation will be final.
- 5.1.2.15 The Bank ascertains and concludes that everything as mentioned in the tender documents circulated to the Vendor and responded by the vendors have been quoted for by the vendor, and there will be no extra cost associated with the same in case the vendor has not quoted for the same.
- 5.1.2.16 All out of pocket expenses, traveling, boarding and lodging expenses for the entire life of the contract should be a part of the financial bid submitted by the vendor to the Bank. No extra costs on account of any items or services or by way of any out of pocket expenses, including travel, boarding and lodging etc. will be payable by the Bank. The vendor cannot take the plea of omitting any charges or costs and later lodge a claim on the Bank for the same.
- 5.1.2.17 The vendor at no point in time can excuse themselves from any claims by the Bank whatsoever for their deviations in confirming to the terms and conditions, payments schedules time frame for solution etc. as mentioned in the tender document circulated by the Bank. Vendor shall be fully responsible for deviations to the terms & conditions etc. as proposed in the tender document.
- 5.1.2.18 If related parties (as defined below) submit more than one bid then both /all bids submitted by related parties are liable to be rejected at any stage at Bank's discretion:
 - a) Bids submitted by holding company and its subsidiary
 - b) Bids submitted by two or more companies having common director/s
 - c) Bids submitted by two or more partnership firms / LLPs having common partners
 - d) Bids submitted by two or more companies in the same group of promoters/management
 - e) Any other bid in the sole discretion of the Bank is in the nature of multiple bids.

5.1.3 Price Bids

- 5.1.3.1 The vendor is requested to quote in Indian Rupee (INR). Bids in currencies other than INR would not be considered. The date for opening of price bids would be communicated separately to the successful Vendors post the completion of the technical evaluation
- 5.1.3.2 The prices and other terms offered by vendors must be firm for an acceptance period of 180 days from the opening of the commercial bid.



- 5.1.3.3 Prices quoted by the Vendor should be inclusive of all taxes, duties, levies etc. except GST. GST will be paid at actuals. The Vendor is expected to provide the GST amount and GST percentage in both the commercial and masked bids (without amounts being submitted in the technical response). There will be no price escalation for during the contract period and any extension thereof. Bid submitted with an adjustable price quotation will be treated as non-responsive and will be rejected.
- 5.1.3.4 In case of any variation (upward or down ward) in Government levies / taxes / cess / duties etc. which has been included as part of the price will be borne by the Vendor. Variation would also include the introduction of any new tax / cess/ duty, etc provided that the benefit or burden of other taxes quoted separately as part of the commercial bid like GST and any taxes introduced instead of GST and levies associated to GST or any new taxes introduced after the submission of vendor's proposal shall be passed on or adjusted to the Bank. If the Vendor makes any conditional or vague offers, without conforming to these guidelines, the Bank will treat the prices quoted as in conformity with these guidelines and proceed accordingly. Necessary documentary evidence should be produced for having paid any tax/cess/duty, if applicable, and or other applicable levies
- 5.1.3.5 If any Tax authorities of any state, including, Local authorities like Corporation, Municipality etc. or any Government authority or Statutory or autonomous or such other authority imposes any tax, charge or levy or any cess / charge GST and if the Bank has to pay the same for any of the items or supplies made here under by the Vendor, for any reason including the delay or failure or inability of the Vendor to make payment for the same, the Bank has to be reimbursed such amounts paid, on being intimated to the Vendor along with the documentary evidence. If the Vendor does not reimburse the amount within a fortnight, the Bank shall adjust the amount out of the payments due to the Vendor from the Bank along with the interest calculated at commercial rate.
- 5.1.3.6 Terms of payment as indicated in the Purchase Contract that will be issued by the Bank on the selected Vendor will be final and binding on the vendor and no interest will be payable by the Bank on outstanding amounts under any circumstances. If there are any clauses in the Invoice contrary to the terms of the Purchase Contract, the vendor should give a declaration on the face of the Invoice or by a separate letter explicitly stating as follows "Clauses, if any contained in the Invoice which are contrary to the terms contained in the Purchase Contract will not hold good against the Bank and that the Invoice would be governed by the terms contained in the Contract concluded between the Bank and the vendor". Vendor should ensure that the project should not suffer for any reason.
- 5.1.3.7 The Bank will consider the Total Cost of Ownership (TCO) over a five year period. However the contract would be valid for a period of 5 years from the date of Go live of solution, and any residual payment during that period would be adjusted on a prorate basis

5.1.4 Price Comparisons



- 5.1.4.1 The Price offer shall be on a fixed price basis and should be inclusive of all taxes, duties, levies etc. except GST. GST will be paid at actuals. The Vendor is expected to provide the GST amount and GST percentage in both the commercial and masked bids (without amounts being submitted in the technical response). There will be no price escalation in the prices once the prices are fixed and agreed to by the Bank and the vendors during the course of the contract and any extension thereof. Bid submitted with an adjustable price quotation will be treated as non-responsive and will be rejected.
 - 5.1.4.2 The successful vendor will be determined on the basis evaluation mentioned in Clause 4 above.
 - 5.1.4.3 Normalization of bids: The Bank will go through a process of technical evaluation and normalization of the bids to the extent possible and feasible to ensure that vendors are more or less on the same technical ground. After the normalization process, if the Bank feels that any of the bids needs to be normalized and that such normalization has a bearing on the price bids; the Bank may at its discretion ask all the technically short-listed vendors to resubmit the technical and commercial bid once again for scrutiny. The Bank can repeat this normalization process at every stage of technical submission or till the Bank is satisfied. The vendors agree that they have no reservation or objection to the normalization process and all the technically short listed vendors will, by responding to this RFP, agree to participate in the normalization process and extend their co-operation to the Bank during this process. The vendors, by submitting the response to this RFP, agree to the process and conditions of the normalization process.
 - 5.1.4.4 The Price offer shall be on a fixed price basis. Bid submitted with an adjustable price quotation will be treated as non-responsive and will be liable to be rejected. The rate quoted by the vendor should necessarily include the following:
 - 5.1.4.4.1 Transportation, forwarding and freight charges of all deliverable to the site;
 - 5.1.4.4.2 Prices quoted by the Vendor should be inclusive of all taxes, duties and levies etc. except GST which will be paid extra. The Vendor is expected to provide a breakup of the taxes indicated in the commercial bid format. The Vendor is expected to provide the tax types and tax percentage in both the commercial and masked bids (without amounts being submitted in the technical response).
 - 5.1.4.5 The Vendor is expected to provide for services which are required to be extended by the Vendor in accordance with the terms and conditions of the contract.
 - 5.1.4.6 The Vendor must provide and quote for the product and services as desired by the Bank as mentioned in this RFP. Any products / services not proposed to be provided by the Vendor will result in the proposal being incomplete, which may lead to disqualification of the Vendor.
- 5.1.5 Performance Guarantee**
- 5.1.5.1 The successful vendor shall provide a Performance Guarantee within 30 days from the date of receipt of the order or signing of the contract whichever is earlier

in the format as provided in Annexure 12 to the extent of 10% of the total contract value for the entire period of the contract plus 3 months and such other extended period as the Bank may decide for due performance of the project obligations. The guarantee should be of that of a nationalized Bank only, other than Bank of Baroda.

- 5.1.5.2 In the event of non-performance of obligation or failure to meet terms of this Tender the Bank shall be entitled to invoke the performance guarantee without notice or right of demur to the vendor. Any amount pending for payment due to non-achievement of milestone/s set under the agreement or any other reason solely attributable to the vendor should be included in the remaining amount of the contract value.
- 5.1.5.3 The Bank reserves the right to recover any dues payable by the selected vendor from any amount outstanding to the credit of the selected vendor, including the pending bills and/or invoking Performance Guarantee, if any, under this contract.
- 5.1.5.4 If the Performance guarantee is not submitted within the stipulated time, the Bank reserves the right to cancel the order / contract and the earnest money deposit taken from the vendor, will be forfeited.

5.2 Others

- 5.2.1 The solution will be deemed accepted only after successful ATP and sign off from Bank's identified Project Manager.
- 5.2.2 Responses to this RFP should not be construed as an obligation on the part of the Bank to award a purchase contract for any services or combination of services. Failure of the Bank to select a vendor shall not result in any claim whatsoever against the Bank. The Bank reserves the right to reject any or all bids in part or in full, without assigning any reason whatsoever.
- 5.2.3 By submitting a proposal, the vendor agrees to promptly contract with the Bank for any work awarded to the vendor. Failure on the part of the awarded vendor to execute a valid contract with the Bank will relieve the Bank of any obligation to the vendor, and a different vendor may be selected based on the selection process.
- 5.2.4 The terms and conditions as specified in the RFP and addendums (if any) thereafter are final and binding on the vendors. In the event the vendor is not willing to accept the terms and conditions of the Bank, the vendor may be disqualified. Any additional or different terms and conditions proposed by the vendor would be rejected unless expressly assented to in writing by the Bank and accepted by the Bank in writing
- 5.2.5 The vendor must strictly adhere to the delivery dates or lead times identified in their proposal. Failure to meet these delivery dates, unless it is due to reasons entirely attributable to the Bank, may constitute a material breach of the Vendor's performance. In the event that the Bank is forced to cancel an awarded contract (relative to this tender document) due to the Vendor's inability to meet the



established delivery dates or any other reasons attributing to the vendor then, that vendor will be responsible for any re-procurement costs suffered by the Bank. The liability in such an event could be limited to the differential excess amount spent by the Bank for procuring similar deliverables and services.

5.2.6 The vendor shall represent and acknowledge to the Bank that it possesses necessary experience, expertise and ability to undertake and fulfill its obligations, involved in the performance of the provisions of this RFP. The vendor represents that the solution to be supplied in response to this RFP shall meet the proposed vendors requirement. If any services, functions or responsibilities not specifically described in this RFP are an inherent, necessary or customary part of the deliverables or services and are required for proper performance or provision of the deliverables or services in accordance with this RFP, they shall be deemed to be included within the scope of the deliverables or services, as if such services, functions or responsibilities were specifically required and described in this RFP and shall be provided by the vendor at no additional cost to the Bank. The vendor also acknowledges that the Bank relies on this statement of fact, therefore neither accepting responsibility for, nor relieving the vendor of responsibility for the performance of all provisions and terms and conditions of this RFP, the Bank expects the vendor to fulfill all the terms and conditions of this RFP. The modifications, which are accepted by the Bank, shall form a part of the final contract.

5.2.7 The Vendor shall represent that the solution provided and/or use of the same by the Bank shall not violate or infringe the rights of any third party or the laws or regulations under any governmental or judicial authority. The Vendor further represents that the documentation to be provided to the Bank shall contain a complete and accurate description of the solution and services (as applicable), and shall be prepared and maintained in accordance with the highest industry standards. The Vendor represents and agrees to obtain and maintain validity throughout the specified term, of all appropriate registrations permissions and approvals, which are statutorily required to be obtained by the vendor for performance of the obligations of the vendor. The vendor further agrees to inform and assist the Bank for procuring any registrations, permissions or approvals, which may at any time during the Contract Period be statutorily required to be obtained by the Bank for availing services from the vendor.

5.2.8 All terms and conditions, payments schedules, time frame for expected service levels as per this tender will remain unchanged unless explicitly communicated by the Bank in writing to the vendor. The Bank shall not be responsible for any judgments made by the vendor with respect to any aspect of the Service. The vendor shall at no point be entitled to excuse themselves from any claims by the Bank whatsoever for their deviations in confirming to the terms and conditions, payments schedules, expected service levels etc. as mentioned in this tender document.

5.2.9 The Bank and the vendor covenants and represents to the other Party the



following:

- 5.2.9.1 It is duly incorporated, validly existing and in good standing under as per the laws of the state in which such Party is incorporated.
- 5.2.9.2 It has the corporate power and authority to enter into Agreements and perform its obligations there under. The execution, delivery and performance of terms and conditions under Agreements by such Party and the performance of its obligations there under are duly authorized and approved by all necessary action and no other action on the part of such Party is necessary to authorize the execution, delivery and performance under an Agreement.
- 5.2.10** The execution, delivery and performance under an Agreement by such Party:
 - 5.2.10.1 Will not violate or contravene any provision of its documents of incorporation;
 - 5.2.10.2 Will not violate or contravene any law, statute, rule, regulation, licensing requirement, order, writ, injunction or decree of any court, governmental instrumentality or other regulatory, governmental or public body, agency or authority by which it is bound or by which any of its properties or assets are bound;
 - 5.2.10.3 Except to the extent that the same have been duly and properly completed or obtained, will not require any filing with, or permit, consent or approval of or license from, or the giving of any notice to, any court, governmental instrumentality or other regulatory, governmental or public body, agency or authority, joint venture party, or any other entity or person whatsoever;
 - 5.2.10.4 To the best of its knowledge, after reasonable investigation, no representation or warranty by such Party in this Agreement, and no document furnished or to be furnished to the other Party to this Agreement, or in connection herewith or with the transactions contemplated hereby, contains or will contain any untrue or misleading statement or omits or will omit any fact necessary to make the statements contained herein or therein, in light of the circumstances under which made, not misleading. There have been no events or transactions, or facts or information which has come to, or upon reasonable diligence, should have come to the attention of such Party and which have not been disclosed herein or in a schedule hereto, having a direct impact on the transactions contemplated hereunder.
- 5.2.11** The vendor shall undertake to provide appropriate human as well as other resources required, to execute the various tasks assigned as part of the project, from time to time.
- 5.2.12** It would be the responsibility of the vendor to arrange / obtain necessary road permits or any other document for delivery of the deliverables till Bank's premises. The vendor shall arrange road permit for locations applicable at no extra cost to the Bank.
- 5.2.13** The Bank would not assume any expenses incurred by the vendor in preparation of the response to this RFP and also would not return the bid documents to the Vendors



- 5.2.14 The Bank will not bear any costs incurred by the vendor for any discussion, presentation, demonstrations etc. on proposals or proposed contract or for any work performed in connection therewith.
- 5.2.15 The Bank will not bear any costs incurred by the vendor for purchasing extra piece of software / additional components, if the requirements are not met with the standard software. Total cost of implementation, procurement and maintenance has to be borne by the vendor.
- 5.2.16 The implementation of the above solution will be done in 3 phases. The 3 phases can be implemented in parallel also. The 3 phases can be implemented at different locations as per the Bank's discretion. At present, the Bank is intended to implement the PMS from Mumbai / Hyderabad and HRMS & Payroll from Vadodra but can be changed as per the bank's discretion.

5.3 Other RFP Requirements

- 5.3.1 This tender document may undergo change by either additions or deletions or modifications before the actual award of the contract by the Bank. The Bank also reserves the right to change any terms and conditions including eligibility criteria of the tender document and its subsequent addendums as it deems necessary at its sole discretion. The Bank will inform all vendors about changes, if any.
- 5.3.2 The Bank may revise any part of the tender document, by providing a written addendum at stage till the award of the contract. The Bank reserves the right to issue revisions to this tender document at any time before the award date. The addendums, if any, shall be published on Bank's website only.
- 5.3.3 The Bank reserves the right to extend the dates for submission of responses to this document.
- 5.3.4 Vendors shall have the opportunity to clarify doubts pertaining to the tender document in order to clarify any issues they may have, prior to finalizing their responses. All questions are to be submitted to RFP Coordinator mentioned in "[A] Important Dates – RFP Coordinator", and should be received by the nominated point of contact in writing through email before the scheduled date as indicated in the schedule of timeframe. Responses to inquiries and any other corrections and amendments will be published on Bank's website in the form of addendum to tender document or through electronic mail; the preference for distribution would be with the Bank. The vendor, who posed the question, will remain anonymous.
- 5.3.5 Preliminary Scrutiny – The Bank will scrutinize the offers to determine whether they are complete, whether any errors have been made in the offer, whether required technical documentation has been furnished, whether the documents have been properly signed, and whether items are quoted as per the schedule. The Bank may, at its discretion, waive any minor non-conformity or any minor deficiency in an offer. This shall be binding on all vendors and the Bank reserves the right for such waivers and the Bank's decision in the matter will be final.



- 5.3.6** Clarification of Offers – To assist in the scrutiny, evaluation and comparison of offers, the Bank may, at its discretion, ask some or all vendors for clarification of their offer. The Bank has the right to disqualify the vendor whose clarification is found not suitable to the proposed project.
- 5.3.7** No Commitment to Accept Lowest bid or Any Tender – The Bank shall be under no obligation to accept the lowest price bid or any other offer received in response to this Tender notice and shall be entitled to reject any or all offers including those received late or incomplete offers without assigning any reason whatsoever. The Bank reserves the right to make any changes in the terms and conditions of purchase. The Bank will not be obliged to meet and have discussions with any Vendor, and / or to listen to any representations unless there is change in the terms and conditions of purchase
- 5.3.8** Erasures or Alterations – 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 of the product being offered must be filled in. Filling up of the information using terms such as “OK”, “accepted”, “noted”, “as given in brochure / manual” is not acceptable. The Bank may treat the offers not adhering to these guidelines as unacceptable.
- 5.3.9** Price Discussion – It is absolutely essential for the Vendors to quote the lowest price at the time of making the offer in their own interest. The Bank reserves the right to do price discovery and engage the successful vendor in discussions on the prices quoted.
- 5.3.10** Right to Alter–Bank reserves the right to alter the requirements specified in the Tender. The Bank will inform all Vendors about changes, if any. The Vendor agrees that the Bank has no limit on the additions or deletions on the items for the period of the contract. Further the Vendor agrees that the prices quoted by the Vendor would be proportionately adjusted with such additions or deletions in quantities
- 5.3.11** Details of Sub-contracts, as applicable – If required by the Bank, the Vendor should provide complete details of any subcontractor/s used for the purpose of this engagement. It is clarified that notwithstanding the use of sub-contractors by the vendor, the vendor shall be solely responsible for performance of all obligations under the tender document irrespective of the failure or inability of the subcontractor chosen by the vendor to perform its obligations. The Vendor shall also have the responsibility for payment of all dues and contributions, as applicable, towards statutory benefits for its employees and sub-contractors.
- 5.3.12** If the Bank is not satisfied with the technical specifications as specified in the tender document and observes major deviations, the technical bids of such vendors will not be short-listed for further evaluation. No further discussions shall be entertained with such vendors in respect of the subject technical bid.
- 5.3.13** There will be an acceptance test by the Bank or its nominated consultants after implementation of the solution. In case of discrepancy in solution implemented,



the Bank reserves the right to cancel the entire purchase contract and the vendor should take back their equipment at their costs and risks. The test will be arranged by the vendor at the sites in the presence of the officials of the Bank and / or its consultants.

- 5.3.14** Vendor shall indemnify, protect and save the Bank against all claims, losses, costs, damages, expenses, action, suits and other proceedings, resulting from infringement of any patent, trademarks, copyrights etc. or such other statutory infringements under any laws including the Copyright Act, 1987 in respect of solution implemented by them in the Bank from whatsoever source, provided the Bank notifies the Vendor in writing as soon as practicable when the Bank becomes aware of the claim. However, (i) the Vendor has sole control of the defense and all related settlement negotiations (ii) the Bank provides the Vendor with the assistance, information and authority reasonably necessary to perform the above and (iii) the Bank does not make any statements or comments or representations about the claim without the prior written consent of the Vendor, except where the Bank is required by any authority/regulator to make a comment/statement/representation.
- 5.3.15** Letter of Undertaking from OSD / OEM (Annexure 08) – The Vendor should furnish a letter from original equipment manufacturer (OEM / OSD) authorizing the Vendor to quote for OEM's / OSD's product in response to the RFP from the Bank. The said letter should also offer to extend the required support from the OEM / OSD in respect of the items stipulated in the RFP.
- 5.3.16** Undertaking on Information Security (Annexure 09) - The Vendor should furnish a letter both from the Original Solution Developer / Original Equipment Manufacturer (wherever applicable) and also from the Vendor's end providing an undertaking on Information Security of Authenticity for the solution supplied. This undertaking from both OSD / OEM and the vendor is on Information security as per regulatory requirement.
- 5.3.17** The Vendor shall perform its obligations under this Tender as an independent contractor, and may engage subcontractors to perform any of the Deliverables or Services with prior permission from the Bank. Neither this Tender nor the Vendor's performance of obligations under this Tender shall create an association, partnership, joint venture, or relationship of principal and agent, master and servant, or employer and employee, between the Bank and the Vendor or its employees, subcontractor; and neither Party shall have the right, power or authority (whether expressed or implied) to enter into or assume any duty or obligation on behalf of the other Party.
- 5.3.18** The Vendor shall solely be responsible for all payments (including any statutory payments) to its employees and / or sub-contractors and shall ensure that at no time shall its employees, personnel or agents hold themselves out as employees or agents of the Bank, nor seek to be treated as employees of the Bank for any purpose, including claims of entitlement to fringe benefits provided by the Bank, or for any kind of income or benefits. The Vendor alone shall file all applicable tax returns for all of its personnel assigned hereunder in a manner consistent with



its status as an independent contractor of services; and the Vendor will make all required payments and deposits of taxes in a timely manner

- 5.3.19** The price payable to the Vendor shall be inclusive of carrying out any modifications changes / upgrades to the application and other software or equipment that is required to be made in order to comply with any statutory or regulatory requirements or any industry-wide changes arising during the subsistence of the contract/ agreement, and the Bank shall not pay any additional cost for the same. The Vendor needs to provide with the details about all such items considered in the RFP

5.4 Terms of Reference

5.4.1 Delivery

The HRMS, Payroll & PMS Solution should be deliver as following timelines from the date of initiation of project:

1. HRMS - 3 months in a single phase
2. Payroll - 3 months in a single phase
3. PMS - 6 months in a single phase

It is up to bank's discretion to specify the order in which implementation will take place. The solution as per the required scope needs to be rolled out as per the delivery timelines mentioned above

In case the deadlines are not met then the vendor will have to pay penalty to Bank of Baroda @ 1% of implementation cost for respective Solution inclusive of all taxes, duties, levies etc., per week or part thereof, for late implementation beyond due date of implementation, to a maximum of 5% implementation cost for respective Solution. Particular phase implementation cost is the cost linked against each phase as part of payment terms. If delay exceeds two weeks from due date of implementation for any of the solution, Bank of Baroda reserves the right to cancel the entire order.

Any deliverable has not been implemented or not operational on account of which the implementation is delayed, will be deemed/treated as non-delivery thereby excluding the Bank from all payment obligations under the terms of this contract.

5.4.2 Payment Terms

The Vendor must accept the payment terms proposed by the Bank. The commercial bid submitted by the Vendors 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 vendor, in case of delays or defaults on the part of the vendor. Such withholding of payment shall not amount to a default on the part of the Bank. If any of the items / activities as mentioned in the price bid is not taken up by the bank during the course of the assignment, the bank will not pay the professional fees quoted by the vendor in the price bid against such activity / item.

The payment will be released as follows:



a) Annual subscription charges

The payment will be divided into four equal instalments for the year and paid quarterly in advance, on actuals. The payment will be on production of original invoice and against receipt of satisfactory report of previous quarter from the Bank's Project / Operation Manager.

b) Implementation Cost (OTC)

The Implementation Cost for respective solution will be release as follows:

- 40% of Implementation Cost plus applicable tax after Implementation, Integration & UAT Sign off of SMS Aggregator in the form of Acceptance Form should be signed by both Bank's identified Project Manager & vendor representative.
- 40% of Implementation Cost plus applicable tax after Go live signoff from Bank. Go Live Sign Off in the form of Go Live Sign off form should be signed by both Banks identified Project Manager & vendor representative.
- 20% of Implementation Cost plus applicable tax after Go-Live closure signoff from Bank. Go Live Closure Sign Off in the form of Final Acceptance Test should be signed by both Bank's identified Project Manager & vendor representative.

c) Onsite Support Charges – Payable quarterly at the end of each quarter against receipt of satisfactory support report of previous quarter from the Bank's Project / Operation Manager.

There shall be no escalation in the prices once the prices are fixed and agreed to by the Bank and the vendor. Payment will be release by IT Dept., BCC as per above payment terms on submission of mentioned supporting documents.

The Bank will pay invoices within a period of 30 days from the date of receipt of undisputed invoices. Any dispute regarding the invoice will be communicated to the selected vendor within 15 days from the date of receipt of the invoice. After the dispute is resolved, Bank shall make payment within 15 days from the date the dispute stands resolved.



6. General Terms and Conditions

6.1 Governing Laws

The subsequent contract shall be governed and construed and enforced in accordance with the laws of India applicable to the contracts made and to be performed therein, and both Parties shall agree that in respect of any dispute arising upon, over or in respect of any of the terms of this Agreement, only the courts in Mumbai shall have exclusive jurisdiction to try and adjudicate such disputes to the exclusion of all other courts.

6.2 Confidentiality

The Parties acknowledge that in the course of performing the obligations under this Tender and subsequent Agreement, each party shall be exposed to or acquire information of the other party, which such party shall treat as confidential. Neither party shall disclose the Confidential Information to a third party.

“Confidential Information” means any and all information that is or has been received by the “Receiving Party” from the “Disclosing Party” and that:

- ▶ Relates to the Disclosing Party; and
- ▶ 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
- ▶ Is prepared or performed by or on behalf of the Disclosing Party by its employees, officers, directors, agents, representatives or consultants.
- ▶ 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 vendor.

“Confidential Materials” shall mean all tangible materials containing Confidential Information, including, without limitation, written or printed documents and computer disks or tapes whether machine or user readable.

Information disclosed pursuant to this clause will be subject to confidentiality for the term of contract plus two years. However, where Confidential Information relates to the Bank’s data or data of the Bank customers, including but not limited to the Bank customers’ or the Bank employees’ personal data or such other information as the Bank is required by banking secrecy or such other laws to protect for an indefinite period, such Confidential Information shall be protected by the receiving party for an indefinite period or until such time when the receiving party no longer has access to the Confidential Information and has returned or destroyed all Confidential Information in its possession.

Nothing contained in this clause shall limit vendor from providing similar services to any third parties or reusing the skills, know-how and experience gained by the employees in providing the services contemplated under this clause, provided further that the vendor shall at no point use the Bank’s confidential information or Intellectual property.

The Parties will, at all times, maintain confidentiality regarding the contents of this Tender and subsequent Agreement and proprietary information including any business, technical



or financial information that is, at the time of disclosure, designated in writing as confidential, or would be understood by the Parties, exercising reasonable business judgment, to be confidential.

The Parties will keep in confidence and not disclose to any third party any and all Confidential Information available to the Parties, whether such information is given in writing or, is oral or visual, and whether such writing is marked to indicate the claims of ownership and/or secrecy or otherwise. Except as otherwise provided in this Tender, the Parties shall not use, nor reproduce for use in any way, any Confidential Information. The Parties agrees to protect the Confidential Information of the other with at least the same standard of care and procedures used to protect its own Confidential Information of similar importance but at all times using at least a reasonable degree of care.

If the vendor hires another person to assist it in the performance of its obligations under this RFP, or assigns any portion of its rights or delegates any portion of its responsibilities or obligations under this Tender and subsequent Agreement to another person, it shall cause its assignee or delegate to be bound to retain the confidentiality of the Confidential Information in the same manner as the vendor is bound to maintain the confidentiality.

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:

- ▶ Disclose, transmit, reproduce or make available any such Confidential Information and materials to any person, firm, Company or any other entity other than its directors, partners, advisers, agents or employees, sub-contractors and contractors who need to know the same for the purposes of supply, implementation and maintenance of HRMS, Payroll & PMS Solutions as a part of the contract. The Receiving Party shall be responsible for ensuring that the usage and confidentiality by its directors, partners, advisers, agents or employees, sub-contractors and contractors is in accordance with the terms and conditions and requirements of this Tender; or
- ▶ Unless otherwise agreed herein, use of 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.

In maintaining confidentiality hereunder the Receiving Party on receiving the confidential information and materials agrees and warrants that it shall:

- ▶ 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
- ▶ 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
- ▶ Limit access to such Confidential Information and materials to those of its directors, partners, advisers, agents or employees, 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, and contractors so involved to protect the Confidential Information and materials in the manner prescribed in this

document.

- ▶ 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
- ▶ 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 computer, word processor or other device in its possession or under its custody and control
 - 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
 - e) The rights in and to the data / information residing at the Bank's premises, including at the DRC even in the event of disputes shall at all times solely vest with the Bank

This shall not be applicable and shall impose no obligation on the receiving party with respect to any portion of Confidential Information which:

- a) was at the time received or which thereafter becomes, through no act or failure on the part of the receiving party, generally known or available to the public;
- b) is known to the receiving party at the time of receiving such information as evidenced by documentation then rightfully in the possession of the receiving party;
- c) is furnished by others to the receiving party without restriction of disclosure;
- d) is thereafter rightfully furnished to the receiving party by a third party without restriction by that third party on disclosure;
- e) has been disclosed pursuant to the requirements of 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
- f) was independently developed by the receiving party without the help of the Confidential Information.



On termination of the Tender and subsequent Agreement, each party must immediately return to the other party or delete or destroy all Confidential Information of the other party and all notes and memoranda (including copies of them) containing Confidential Information of the other party in its possession or control save for that training materials and Documentation that has been provided to the Bank which is contemplated for continued realization of the benefit of the Services. Notwithstanding the foregoing, Vendor may retain a copy of such information (but which shall not include customer data and Confidential Information) as may be necessary for archival purpose. Where Confidential Information relates to the Bank's data or data of the Bank customers, including but not limited to the Bank customers' or the Bank employees' personal data or such other information as the Bank is required by banking secrecy or such other laws to protect for an indefinite period, such Confidential Information shall be protected by the receiving party for an indefinite period or until such time when the receiving party no longer has access to the Confidential Information and has returned or destroyed all Confidential Information in its possession.

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 under the contract shall not confer on the Receiving Party any rights whatsoever beyond those contained in the contract.

Without prejudice to any other rights or remedies which a Party may have, the Parties acknowledge and agree that damages would not be an adequate remedy for any breach of the clause and the remedies of injunction, specific performance and other equitable relief are appropriate for any threatened or actual breach of any such provision and no proof of special damages shall be necessary for the enforcement of the rights under this Clause. Further, breach of this Clause shall be treated as 'Material Breach' for the purpose of the contract.

Bidder will respect the confidentiality of all information given to it by the Bank and will not divulge such information to any third party or other units without the consent of the Bank. The confidentiality obligations shall survive the expiry or termination of the agreement between the vendor and the Bank.

6.3 Information Ownership

All information processed, stored, or transmitted by Vendor equipment belongs to the Bank. By having the responsibility to maintain the equipment, the Bidder does not acquire implicit access rights to the information or rights to redistribute the information. The Bidder understands that civil, criminal, or administrative penalties may apply for failure to protect information appropriately.

6.4 Sensitive Information

Any information considered sensitive must be protected by the Bidder from unauthorized disclosure, modification or access.

Types of sensitive information that will be found on Bank's systems the Bidder may support or have access to include, but are not limited to: Information subject to special statutory protection, legal actions, disciplinary actions, complaints, IT security, pending cases, civil and criminal investigations, etc.



6.5 Privacy and Security Safeguards

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

6.6 Dispute Resolution

The Bank and the vendor shall make every effort to resolve amicably, by direct informal negotiation between the respective project managers / directors of the Bank and the vendor, any disagreement or dispute arising between them under or in connection with the contract.

If the Bank project manager / director and vendor project manager / director are unable to resolve the dispute after thirty days from the commencement of such informal negotiations, they shall immediately escalate the dispute to the senior authorized personnel designated by the vendor and Bank respectively.

If after thirty days from the commencement of such negotiations between the senior authorized personnel designated by the vendor and Bank, the Bank and the vendor have been unable to resolve contractual dispute amicably, either party may require that the dispute be referred for resolution through formal arbitration.

All questions, disputes or differences arising under and out of, or in connection with the contract or carrying out of the work whether during the progress of the work or after the completion and whether before or after the determination, abandonment or breach of the contract shall be referred to arbitration by a sole Arbitrator acceptable to both parties OR the number of arbitrators shall be three, with each side to the dispute being entitled to appoint one arbitrator. The two arbitrators appointed by the parties shall appoint a third arbitrator shall act as the chairman of the proceedings. Arbitration will be carried out at Bank's office that placed the order. The Arbitration and Conciliation Act 1996 or any statutory modification thereof shall apply to the arbitration proceedings

The arbitral award shall be in writing, state the reasons for the award, and be final and binding on the parties. The award may include an award of costs, including reasonable attorneys' fees and disbursements. Judgment upon the award may be entered by any court having jurisdiction thereof or having jurisdiction over the relevant Party or its assets.

In the event of any dispute and or the commencement of arbitration proceedings the successful Bidder shall continue to provide the Deliverables and the Services in accordance with this Tender and subsequent Agreement and shall maintain the agreed Service levels.



6.7 Force Majeure

The vendor shall not be liable for forfeiture of its performance security, liquidated damages, penalties or termination for default, if any to the extent that its delay in performance or other failure to perform its obligations under the contract is the result of an event of Force Majeure.

For purposes of this Clause, “Force Majeure” means an event explicitly beyond the reasonable control of the vendor and not involving the vendor’s fault or negligence and not foreseeable. Such events are Acts of God or of public enemy, acts of Government of India in their sovereign capacity, strikes, political disruptions, bandhs, riots, civil commotions and acts of war.

If a Force Majeure situation arises, the vendor shall promptly notify the Bank in writing of such conditions and the cause thereof within fifteen calendar days. Unless otherwise directed by the Bank in writing, the vendor shall continue to perform vendor’s obligations under this Agreement as far as is reasonably practical, and shall seek all reasonable alternative means for performance not prevented by the Force Majeure event.

If the duration of delay continues beyond a period of three months, the Bank and vendor shall hold consultations in an endeavor to find a solution to the problem.

6.8 Termination

Bank shall have option to terminate / cancel this RFP at any stage without any prior notice. In following events Bank shall terminate this assignment or cancel any particular order if Vendor:

- ▶ breaches any of its obligations set forth in this assignment or any subsequent agreement and Such breach is not cured within thirty (30) Working Days after Bank gives written notice; or
- ▶ failure by Vendor to provide Bank, within thirty (30) Working Days, with a reasonable plan to cure such breach, which is acceptable to the Bank. Or
- ▶ The progress regarding execution of the contract/ services rendered by the Service Provider is not as per the prescribed time line, and found to be unsatisfactory.
- ▶ Supply of sub standard materials/ services ;
- ▶ Delay in delivery / installation / commissioning of services.
- ▶ If deductions of penalty exceeds more than 10% of the total contract price.

This Tender or subsequent Agreement shall be deemed to have been terminated by either Party one day prior to the happening of the following events of default:

- ▶ 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;
- ▶ 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;



- ▶ 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 The other Party becomes the subject of a court order for its winding up.

Notwithstanding above, in case of change of policy or any unavoidable circumstances Bank reserve the right to terminate this assignment or any subsequent agreement and / or any particular order, in whole or in part by giving Vendor at least 30 days prior notice in writing.

The Vendor understands the largeness of this Project and that it would require tremendous commitment of financial and technical resources for the same from the Vendor for the tenure of this Tender and subsequent Agreement. The Parties therefore agree and undertake that an exit at any point in time resulting due to expiry or termination of this Tender and subsequent Agreement for any reason whatsoever would be a slow process over a period of six (6) months, after the completion of the notice period of three (3) months. During this period, the Vendor shall continue to provide the Deliverables and the Services in accordance with this Tender and subsequent Agreement and shall maintain the agreed Service levels.

Immediately upon the date of expiration or termination of the Agreement, Bank shall have no further obligation to pay any fees for any periods commencing on or after such date.

Without prejudice to the rights of the Parties, upon termination or expiry of subsequent Agreement, Bank shall pay to Vendor, within thirty (30) days of such termination or expiry, of the following:

- ▶ All the undisputed fees outstanding till the date of termination;

Upon the termination or expiry of this Tender and subsequent Agreement:

- ▶ The rights granted to Vendor shall immediately terminate.
- ▶ Upon Bank's request, with respect to (i) any agreements for maintenance, disaster recovery services or other third-party services, and any Deliverables not owned by the Vendor, being used by Vendor to provide the Services and (ii) the assignable agreements, Vendor shall, use its reasonable commercial endeavors to transfer or assign such agreements and Vendor Equipment to Bank and its designee(s) on commercially reasonable terms mutually acceptable to both Parties.
- ▶ Upon Bank's request in writing, Vendor shall be under an obligation to transfer to Bank or its designee(s) the Deliverables being used by Vendor to perform the Services free and clear of all liens, security interests, or other encumbrances at a value calculated as stated.

In the event the Bank terminates the Contract in whole or in part, the Bank may, among other applicable remedies, procure Goods, Works or Services similar to those undelivered upon such terms and in such manner as it deems appropriate, and hold the Vendor liable to the Bank for any excess costs for such similar Goods, Works or Services. However, the Vendor shall continue performance of the Contract to the extent not terminated.

The Bank will provide the selected vendor a remedy period of 30 days to rectify a default or given situation. The Bank will provide in writing the nature of the default to the selected vendor through a letter or mail correspondence. The 30 day time period will commence



from the day the Bank has sent such correspondence to the selected vendor.

The Bank reserves its right to cancel the order in the event of one or more of the following situations, that are not occasioned due to reasons solely and directly attributable to the Bank alone and it will be considered as a breach of obligations of vendor:

- ▶ Delay in implementation beyond the specified period that is agreed in the contract that will be signed with the successful vendor.
- ▶ Discrepancy in the quality of service / security expected during the implementation, rollout and subsequent maintenance process.
- ▶ The amount of penalties has exceeded the overall cap of 5% of the total contract value in any year during the contract period.
- ▶ Failure of the vendor make good the situation within the remedy period
- ▶ Amount of total penalties exceed overall cap of 20% of the fixed quarterly payment in any quarter
- ▶ The selected vendor commits a breach of any of the terms and conditions of the RFP / contract.

In case of order cancellation, any payments made by the Bank to the Vendor for unacceptable deliverables would necessarily have to be returned to the Bank with interest @ 15% per annum from the date of each such payment. These payments to be returned would refer to those deliverables that will have to be reversed or redone post the termination of the vendor.

As part of Reverse Transition Services, Bank shall have the right, and Vendor shall not object to or interfere with such right, to contract directly with any Vendor's subcontractor.

6.9 Contract Review

The Bank desires to appoint the successful vendor for a total period of 5 years, considering the effort and investments required in the arrangement. However, understanding the complexities of the entire arrangement would like to safe guard the interests of all the entities involved in the arrangement. Therefore, the Bank would like to have options to revisit the arrangements and terms of contract as well as to re-price the same after the contract term on mutually agreed terms if necessary.

The Bank expects the benefits from any un-anticipated decrease in technology infrastructure costs, over the term of the contract due to reduction of prices, efficient use of IT infrastructure / reduction of statutory charges, etc. and operations management methods that yield more efficient operations, to be passed on through re-negotiation. No conflict between the successful vendor and the Bank will cause cessation of services. Only by mutual consent the services can be withdrawn. This would include a well-defined reverse transition mechanism, which would normally require 3 to 6 months and will contain

- ▶ Procedures for transition and migrating to the new service provider
- ▶ Time frame for parallel run

Skill transfer mechanism and in specific cases the human resources requirement.

6.10 Subcontracting

The vendor shall not subcontract or permit anyone other than its personnel to perform any



of the work, service or other performance required by it under this assignment without the prior written consent of Bank.

6.11 Indemnity

The Vendor shall indemnify the Bank, and shall always keep indemnified and hold the Bank, its employees, personnel, officers, directors, (hereinafter collectively referred to as "Personnel") 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:

- ▶ Bank's authorized / bona fide use of the Deliverables and /or the Services provided by Vendor under this RFP; and/or
- ▶ an act or omission of the Vendor and/or its employees, agents, sub-contractors in performance of the obligations under this RFP; and/or
- ▶ claims made by employees or subcontractors or subcontractors' employees, who are deployed by the Vendor, against the Bank; and/or
- ▶ claims arising out of employment, non-payment of remuneration and non-provision of statutory benefits by the Vendor to its employees, its agents, contractors and sub contractors
- ▶ Material breach of any of the term of this RFP or breach of any representation or false representation or inaccurate statement or assurance or covenant or warranty of the Vendor under this RFP; and/or
- ▶ any or all Deliverables or Services infringing any patent, trademarks, copyrights or such other Intellectual Property Rights; and/or
- ▶ breach of confidentiality obligations of the Vendor contained in this RFP; and/or
- ▶ Negligence or gross misconduct attributable to the Vendor or its employees.

The Vendor shall 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 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,

- ▶ notifies the Vendor in writing as soon as practicable when the Bank becomes aware of the claim; and
- ▶ cooperates with the Vendor in the defense and settlement of the claims.

However, (i) the Vendor has sole control of the defense and all related settlement negotiations (ii) the Bank provides the Vendor with the assistance, information and authority reasonably necessary to perform the above and (iii) the Bank does not make any statements or comments or representations about the claim without the prior written consent of the Vendor, except where the Bank is required by any authority/regulator to make a comment/statement/representation.

If use of deliverables is prevented by injunction or court order because of any such claim or deliverables is likely to become subject of any such claim then the Vendor, after due inspection and testing and at no additional cost to the Bank, shall forthwith either 1) replace or modify the software / equipment with software / equipment which is functionally



equivalent and without affecting the functionality in any manner so as to avoid the infringement; or 2) obtain a license for the Bank to continue the use of the software / equipment, as required by the Bank as per the terms and conditions of this Tender and subsequent Agreement and to meet the service levels; or 3) refund to the Bank the amount paid for the infringing software / equipment and bear the incremental costs of procuring a functionally equivalent software / equipment from a third party, provided the option under the sub clause (3) shall be exercised by the Bank in the event of the failure of the Vendor to provide effective remedy under options (1) to (2) within a reasonable period which would not affect the normal functioning of the Bank.

The Vendor shall not be liable for defects or non-conformance resulting from:

- ▶ Software, hardware, interfacing, or supplies for the solution not approved by Vendor; or
- ▶ any change, not made by or on behalf of the Vendor, to some or all of the software/deliverables supplied by the Vendor or modification thereof, provided the infringement is solely on account of that change ;

Indemnity would cover damages, loss or liabilities suffered by the Bank arising out of claims made by regulatory authorities for reasons attributable to breach of obligations under this RFP and subsequent agreement by the Vendor.

In the event of successful vendor does not fulfill its obligations under this clause within the period specified in the notice issued by the BOB, Bank has the right to recover the amounts due to it under this provision from any amount payable to the vendor under this project.

The indemnities under this clause are in addition to and without prejudice to the indemnities given elsewhere in this agreement.

6.12 Compliance with Laws

Compliance with all applicable laws: The vendor shall undertake to observe, adhere to, abide by, comply with and notify the Bank about all laws in force or as are or as made applicable in future, pertaining to or applicable to them, their business, their employees or their obligations towards them and all purposes of this tender.

Compliance in obtaining approvals/permissions/licenses: The vendor shall promptly and timely obtain all such consents, permissions, approvals, licenses, etc., as may be necessary or required for any of the purposes of this project or for the conduct of their own business under any applicable Law, Government Regulation/Guidelines and shall keep the same valid and in force during the term of the project, and in the event of any failure or omission to do so, shall indemnify, keep indemnified, hold harmless, defend, protect and fully compensate the Bank and its employees/ officers/ staff/ 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 there from and the Bank will give notice of any such claim or demand of liability within reasonable time to the vendor.

The vendor is not absolved from its responsibility of complying with the statutory obligations as specified above. Indemnity shall exclude indirect, consequential and incidental damages.

6.13 Limitation of Liability



- 6.13.1** Service Provider's aggregate liability in connection with obligations undertaken as a part of the Agreement regardless of the form or nature of the action giving rise to such liability (whether in contract, tort or otherwise), shall be at actual and limited to the Total Contract Value.
- 6.13.2** Service Provider's liability in case of loss suffered by Bank on account of claims against the Bank resulting from Willful Misconduct or Gross Negligence arising due to infringement of patents, trademarks, copyrights or such other Intellectual Property Rights or breach of confidentiality obligations shall be unlimited.
- 6.13.3** "Willful Misconduct" means any act or omission of a party which is willfully intended to harm the interests of the other party, provided however, that willful Misconduct does not include ordinary negligence, an error of judgment or mistake of a person.
- 6.13.4** "Gross Negligence" means an indifference to, and a blatant violation of a legal duty with respect to the rights of others, being a conscious and voluntary disregard of the need to use reasonable care, which is likely to cause foreseeable grave injury or harm to persons, property, or both. Gross negligence involves conduct that is extreme, when compared with ordinary negligence. A mere failure to exercise reasonable care shall not be a Gross negligence.
- 6.13.5** Bank shall not be held liable for and is absolved of any responsibility or claim / litigation arising out of the use of any third party software or modules supplied by Service Provider as part of procurement under the Agreement.
- 6.13.6** Under no circumstances shall either party be liable to the other for any loss of business, goodwill or profits even if such party has been advised of such damages

6.14 Visitorial Rights

The Bank and its authorized representatives, including Reserve Bank of India (RBI) or any other regulator shall have the right to visit any of the vendor's premises without prior notice to ensure that data provided by the Bank is not misused. The vendor shall cooperate with the authorized representative/s of the Bank and shall provide all information/ documents required by the Bank/ RBI / any other regulator failing which the vendor will be liable to pay any charges/ penalty levied by RBI/ any other regulator.

6.15 Inspection of Records

All vendor records with respect to any matters covered by this RFP shall be made available to auditors and or inspecting officials of the Bank and/or Reserve Bank of India and/or any regulatory authority, at any time during normal business hours, as often as the Bank deems necessary, to audit, examine, and make excerpts or transcripts of all relevant data. Said records are subject to examination. Bank's auditors would execute confidentiality agreement with the vendor provided that the auditors would be permitted to submit their findings to the Bank, which would be used by the Bank. The cost of the audit will be borne by the Bank. The scope of such audit would be limited to Service Levels being covered under the contract, and financial information would be excluded from such inspection,



which will be subject to the requirements of statutory and regulatory authorities. Bank/Bank's appointed External auditors/ Regulators have right to audit and right to examine the facilities, activities and assets (hardware and software).

6.16 Assignment

The vendor agrees that the vendor shall not be entitled to assign any or all of its rights and or obligations under this Tender and subsequent Agreement to any entity including vendor's affiliate without the prior written consent of the Bank.

If the Bank undergoes a merger, amalgamation, takeover, consolidation, reconstruction, change of ownership, etc., this RFP along with the subsequent Addendums published shall be considered to be assigned to the new entity and such an act shall not affect the rights of the vendor under this RFP.

6.17 Publicity

Any publicity relating to the work to be carried out in BANK is strictly prohibited. No information of any nature related to this project shall be disclosed to any third party unless otherwise necessary prior permission to Bank. All the bidders must give a declaration in this regard duly signed by them.

6.18 Solicitation of Employees

Both the parties agree not to hire, solicit, or accept solicitation (either directly, indirectly, or through a third party) for their employees directly involved in this contract during the period of the contract and one year thereafter, except as the parties may agree on a case-by-case basis. The parties agree that for the period of the contract and one year thereafter, neither party will cause or permit any of its directors or employees who have knowledge of the agreement to directly or indirectly solicit for employment the key personnel working on the project contemplated in this proposal except with the written consent of the other party.

The above restriction would not apply to either party for hiring such key personnel who (i) initiate discussions regarding such employment without any direct or indirect solicitation by the other party (ii) respond to any public advertisement placed by either party or its affiliates in a publication of general circulation or (iii) has been terminated by a party prior to the commencement of employment discussions with the other party.

6.19 Notices and other Communication

If a notice has to be sent to either of the parties following the signing of the contract, it has to be in writing and shall be sent personally or by certified or registered post with acknowledgement due or overnight courier or email duly transmitted, facsimile/fax transmission (with hard copy to follow for email/fax), addressed to the other party at the addresses, email and fax number given in the contract.

Notices shall be deemed given upon receipt, except that notices send by registered post in a correctly addressed envelope shall be deemed to be delivered within 5 working days (excluding Sundays and public holidays) after the date of mailing dispatch and in case the communication is made by facsimile transmission or email, on business date immediately after the date of successful facsimile/email transmission (that is, the sender has a hard copy of a confirmation page evidencing that the facsimile was completed in full to the



correct fax number or email sent to correct email address).

Any Party may change the address, email address and fax number to which notices are to be sent to it, by providing written notice to the other Party in one of the manners provided in this section.

6.20 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 tender document 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 tender document 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.

6.21 Severability

If any term or provision or clause of the Agreement (to be executed under this RFP) is declared invalid, illegal or unenforceable to any person the remainder of this Agreement shall be unimpaired and the invalid, illegal or unenforceable term or provision shall be replaced by such valid term or provision as comes closest to the intention underlying the invalid term or provision and that term or provision shall be enforced to the fullest extent permitted by law.

6.22 Vendor's Design Liability

The Vendor shall carry out all and any works and services to give sufficient details for the construction or installation of the Works so as to ensure that the materials/equipment selected by the Vendor is in compliance with the Contract requirements, particularly those in the Project Overview and Technical Summary and on the Drawings, and the Works are workable as a whole in compliance with the performance requirements of all testing and commissioning and integrated system tests as stipulated in the Contract.

6.23 No implied deviation

The Bank expects the vendor to adhere to the terms of this RFP document, Unless agreed to specifically by the Bank in writing for any changes to the tender document issued, the vendor responses would not be incorporated automatically in the tender document.

All responses including commercial and technical bids would be deemed to be irrevocable offers/proposals from the vendors and may be accepted by the Bank to form part of final contract between the Bank and the selected vendor. Vendors are requested to attach a letter from an authorized signatory attesting the veracity of information provided in the responses. Unsigned responses would be treated as incomplete and are liable to be rejected.

6.24 The bid submission by related parties

If related parties (as defined below) submit more than one bid then both /all bids submitted by related parties are liable to be rejected at any stage at Bank's discretion:



- a) Bids submitted by holding company and its subsidiary company;
- b) Bids submitted by two or more companies having common director/s
- c) Bids submitted by two or more partnership firms / LLPs having common partners
- d) Bids submitted by companies in the same group of promoters/management
- e) In the case of software or hardware Either the Indian agent on behalf of the principal/ OEM or Principal/ OEM itself can bid but both cannot bid simultaneously for the same solution in this tender. If an agent submits bid on behalf of the Principal/ OEM, the same agent cannot submit a bid on behalf of another Principal/ OEM in this tender for the same solution.

6.25 Governing Laws

This RFP and The subsequent contract shall be governed and construed and enforced in accordance with the laws of India. both Parties shall agree that in respect of any dispute arising upon, over or in respect of any of the terms of this Agreement, only the courts in Mumbai shall have exclusive jurisdiction to try and adjudicate such disputes to the exclusion of all other courts.

6.26 Bank of Baroda reserves the right to:

- a) Reject any and all responses received in response to the RFP
 - b) Waive or Change any formalities, irregularities or inconsistencies in proposal format delivery
 - c) Extend the time for submission of all proposals
 - d) Select the most responsive bidder (in case no bidder satisfies the eligibility criteria in totality)
 - e) Select the next most responsive bidder if negotiations with the bidder of choice fail to result in an agreement within a specified time frame.
 - f) Share the information/ clarifications provided in response to RFP by any bidder, with any other bidder(s) /others, in any form.
 - g) Cancel the RFP/Tender at any stage, without assigning any reason whatsoever.
 - h) Change the time schedule of the RFP for inviting the bids or evaluation thereof
 - i) Modify the quantity or any specifications related to eligibility or technicalities.
- no obligation to accept the lowest or any other offer received in response to the RFP and shall be entitled to reject any or all of the offers. Bank has full rights to reissue the tender / bid for any reasons felt necessary by the Bank. The Bank's decision in this regard shall be final, conclusive and binding upon the Bidder.

7. Disclaimer

Subject to any law to the contrary, and to the maximum extent permitted by law, the 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 arises in connection with any ignorance, negligence, inattention, casualness, disregard, omission, default, lack of care, immature information, falsification or misrepresentation on the part of the Bank or any of its directors, officers, employees, contractors, representatives, agents, or advisers.



8. Instructions to Vendors - E TENDERING

8.1 General Instructions:

To view the Tender Document along with this Notice and subsequently purchase the Tender Document and its supporting documents, kindly visit following e-Tendering website of Bank of Baroda: **bobtenders.abcprocure.com**

The Vendors participating first time for e-Tendering on Bank of Baroda e-tendering portal will have to complete the Online Registration Process on the e-Tendering portal. A link for enrolment of new vendors has been provided on the above link. All prequalified vendors interested in participating in the online e-Tendering process are required to procure Class II or Class III Digital e-Token having -2- certificates inside it, one for Signing/Verification purpose and another for Encryption/Decryption purpose. The tender should be prepared & submitted online using the vendor's authorized individual's Digital e- Token.

If any assistance is required regarding e-Tendering (registration / upload / download/ Bid Preparation / Bid Submission) please contact Bank of Baroda e-Tendering Help Desk on: 079-40270579/80/59/96 or mail: yashrajsinh@auctiontiger.net / rfp.it.procurement@bankofbaroda.com.

8.2 Purchase and Downloading of Tender Document

The tender document is uploaded / released on Bank of Baroda, (BOB) website. Tender document and supporting documents may be downloaded from above link also. Subsequently, bid has to be prepared and submitted ONLINE ONLY as per the schedule given in Notice Details. The Tender document will be available online only. Tender document will not be sold / issued manually.

Only those Tender offers shall be accepted for evaluation for which non-refundable Application Money and Earnest Money Deposit (EMD) is deposited as per the section 2.11.

8.3 Preparation & Submission of Bids

The Bids (Eligibility Cum Technical as well as Commercial) shall have to be prepared and subsequently submitted online only. Bids not submitted "ON LINE" shall be summarily rejected. No other form of submission shall be permitted.



9. Guidelines to Contractors on the operations of Electronic Tendering System of Bank of Baroda (<https://bobtenders.abcprocure.com/>)

9.1 Pre-requisites to participate in the Tenders processed by BOB:

9.1.1 Registration of Contractors on Electronic Tendering System on Portal of BOB:

The Contractors **Non Registered** in **BANK OF BARODA** and interested in participating in the e-Tendering process of **BOB** shall be required to enroll on the Electronic Tendering System. To enroll contractor has to generate User ID and password on the (<https://bobtenders.abcprocure.com/>)

i) Registration of New Contractors:

<https://bobtenders.abcprocure.com/EPROC/bidderregistration>

The Contractors may obtain the necessary information on the process of Enrollment either from **Helpdesk Support Team: 079-40270579/80/59/96** or may download User Manual from Electronic Tendering System for **BOB**. i.e. <https://bobtenders.abcprocure.com/EPROC/>

9.1.2 Preparation of Bid & Guidelines and functionalities of Digital Certificate

The Bid Data that is prepared online is required to be encrypted and the hash value of the Bid Data is required to be signed electronically using a **Digital Certificate (Class – II or Class – III)**. This is required to maintain the security of the Bid Data and also to establish the identity of the Contractor transacting on the System. **This Digital Certificate should be having Two Pair (1. Sign Verification 2. Encryption/ Decryption)**

The Digital Certificates are issued by an approved Certifying Authority authorized by the Controller of Certifying Authorities of Government of India through their Authorized Representatives upon receipt of documents required to obtain a Digital Certificate.

Bid data / information for a particular Tender may be submitted only using the Digital Certificate.

Certificate which is used to encrypt the data / information and Signing Digital Certificate to sign the hash value during the Online Submission of Tender stage. In case, during the process of preparing and submitting a Bid for a particular Tender, the Contractor loses his / her Digital Signature Certificate (i.e. due to virus attack, hardware problem, operating system problem); he / she may not be able to submit the Bid online. Hence, the Users are advised to store his / her Digital Certificate securely and if possible, keep a backup at safe place under adequate security to be used in case of need.

In case of online tendering, if the Digital Certificate issued to an Authorized User of a Partnership Firm is used for signing and submitting a bid, it will be considered equivalent to a no objection certificate / power of attorney to that User to submit the bid on behalf of the Partnership Firm. The Partnership Firm has to authorize a specific individual via an authorization certificate signed by a partner of the firm (and in case the applicant is a partner, another partner in the same form is required to authorize) to use the digital certificate as per **Indian Information Technology Act, 2000**.



Unless the Digital Certificate is revoked, it will be assumed to represent adequate authority of the Authority User to bid on behalf of the Firm for the Tenders processed on the Electronic Tender Management System of Bank of Baroda as per **Indian Information Technology Act, 2000**. The Digital Signature of this Authorized User will be binding on the Firm. It shall be the responsibility of Partners of the Firm to inform the Certifying Authority or Sub Certifying Authority, if the Authorized User changes, and apply for a fresh Digital Signature Certificate. The procedure for application of a Digital Signature Certificate will remain the same for the new Authorized User.

The same procedure holds true for the Authorized Users in a Private / Public Limited Company. In this case, the Authorization Certificate will have to be signed by the Director of the Company or the Reporting Authority of the Applicant.

The bidder should Ensure while procuring new digital certificate that they procure a pair of certificates (two certificates) one for the purpose of Digital Signature, Non-Repudiation and another for Key Encipherment.

9.1.3 Recommended Hardware and Internet Connectivity:

To operate on the Electronic Tendering System, the Bidder are recommended to use Computer System with at least 1 GB of RAM and broadband connectivity with minimum 512 kbps bandwidth. However, Computer Systems with latest i3 / i5 Intel Processors and 3G connection is recommended for better performance.

Operating System Requirement: Windows XP – Service Pack 3 / Windows 7 and above
Browser Requirement (Compulsory): Internet Explorer Version 9 (32 bit) and above and System Access with Administrator Rights.

Toolbar / Add on / Pop up blocker

Users should ensure that there is no software installed on the computers which are to be used for using the website that might interfere with the normal operation of their Internet browser. Users have to ensure that they do not use any pop-up blockers, such as those provided by Internet Explorer and complementary software, like for example the Google tool bar. This might, in certain cases depending on users' settings, prevent the access of the EAS application.

9.2 Steps to be followed by Contractors to participate in the e-Tenders processed by BOB

9.2.1 Preparation of online Briefcase

All Contractors enrolled on the Electronic Tendering System of bank are provided with dedicated briefcase facility to store documents / files in digital format. The Contractors can use the online briefcase to store their scanned copies of frequently used documents / files to be submitted as a part of their bid response. The Contractors are advised to store the relevant documents in the briefcase before starting the Bid Preparation and submission stage.

In Case, the Contractors have multiple documents under the same type (e.g. multiple Work Completion Certificates) as mentioned above, the Contractors advised to either create a single .pdf or .jpg file of all the documents of same type or compress the documents in a



single compressed file in .zip or .rar formats and upload the same.

Note : Uploading of documents in the briefcase does not mean that the documents are available to BOB at the time of tender Opening stage unless the documents are specifically attached to the bid during the online **Online Submission Of Tender** stage as well as during **Online Final Confirmation**.

9.2.2 Online viewing of Detailed Notice Inviting Tenders:

The Contractors can view the Detailed Tender Notice along with the Time Schedule (Key Dates) for all the Live Tenders released by BOB on the home page of BOB e-Tendering Portal on bobtenders.abcprocure.com

9.2.3 Download of Tender Documents:

The Pre-qualification / Main Bidding Documents are available for free downloading. However to participate in the online tender, the bidder must purchase the bidding documents via Demand Draft mode by filling the cost of tender form fee.

9.2.4 Online Submission of Tender:

Submission of Bids will be preceded by Online Submission of Tender with digitally signed Bid Hashes (Seals) within the Tender Time Schedule (Key dates) published in the Detailed Notice Inviting Tender. The Bid Data is to be prepared in the templates provided by the Tendering Authority of BOB. The templates may be either form based, extensible tables and / or uploadable documents. In the form based type of templates and extensible table type of templates, the Contractors are required to enter the data and encrypt the data/documents using the Digital Certificate / Encryption Tool.

In case Uploadable document type of templates, the Contractors are required to select the relevant document / compressed file (containing multiple documents) already uploaded in the briefcase.

Notes:

- a. The Contractors upload a single documents uploadable option.
- b. The Bid hash values are digitally signed using valid class – II or Class – III Digital Certificate issued any Certifying Authority. The Contractors are required to obtain Digital Certificate in advance.
- c. The bidder may modify bids before the deadline for Online Submission of Tender as per Time Schedule mentioned in the Tender documents.
- d. This stage will be applicable during both. Pre-bid / Pre-qualification and Financial Bidding Processes.

The documents submitted by bidders must be encrypted using document encryption tool which available for download under Download section on bobtenders.abcprocure.com

Steps to encrypt and upload a document:

- Select Action: Encryption -> Tender ID: (enter desired tender ID) -> Envelope: (Technical / Price Bid) -> Add File: (Select desired document to be encrypted) ->



Save File(s) to: (select desired location for encrypted file to save).

- After successful encryption, format of encrypted file will change to .enc which is required to be uploaded by bidders.
- After encryption bidders are required to upload document as per the mandatory list mentioned in the envelope i.e Technical / Commercial.

Bidders need to take extra care while mentioning tender ID, entering incorrect ID will not allow bank to decrypt document.

9.2.5 Close for Bidding (Generation of Super Hash Values):

After the expiry of the cut- off time of Online Submission of Tender stage to be completed by the Contractors has lapsed, the Tender will be closed by the Tender Authority.

9.2.6 Online Final Confirmation:

After submitting all the documents bidders need to click on “Final Submission” tab. System will give pop up ”You have successfully completed your submission” that assures submission completion

9.2.7 Short listing of Contractors for Financial Bidding Process:

The Tendering Authority will first open the Technical Bid documents of all Contractors and after scrutinizing these documents will shortlist the Contractors who are eligible for Financial Bidding Process. The short listed Contractors will be intimated by email.

9.2.8 Opening of the Financial Bids:

The Contractors may remain present in the office of the Tender Opening Authority at the time of opening of Financial Bids. However, the results of the Financial Bids of all Contractors shall be available on the BOB e-Tendering Portal immediately after the completion of opening process.

9.2.9 Tender Schedule (Key Dates):

The Contractors are strictly advised to follow the Dates and Times as indicated in the Time Schedule in the detailed tender Notice for the Tender. All the online activities are time tracked and the electronic Tendering System enforces time-locks that ensure that no activity or transaction can take place outside the Start and End Dates and time of the stage as defined in the Tender Schedule.

At the sole discretion of the tender Authority, the time schedule of the Tender stages may be extended.



Annexure 01 - Bid - Table of Contents

Eligibility Cum Technical Bid to contain the following (Bidder should submit their bids Online i.e. through <https://bobtenders.abcprocure.com>. After digitally signed all the documents and after encryption by e-signer tool only available on the portal <https://bobtenders.abcprocure.com>.)

Section #	Section Heading	Proforma Given
1	Covering letter certifying eligibility criteria compliance	Vendor to provide
2	Eligibility criteria compliance with vendor comments	Annexure 02
3	Credential letters / Purchase orders / Supporting documents	Vendor to provide
4	Application Money Transaction Details (NEFT/RTGS)	Vendor to provide
5	Bid Security Letter	Annexure 03
6	Bid Security Or Bid Security Form (in the form of Bank Guarantee)	Vendor to provide Transaction Details Or Annexure 04
7	Undertaking Letter	Annexure 05
8	Conformity Letter	Annexure 07
9	Letter of Undertaking from OSD / OEM	Annexure 08
10	Undertaking of Information Security	Annexure 09
11	Executive Technical Summary: Should be limited to a maximum of five pages and should summarize the content of the response. The Executive Summary should initially provide i) An overview of Vendor's organization and position with regards to Supply, Implementation and Maintenance of HRMS, Payroll & PMS Solution ii) Brief description of the unique qualifications of the Vendor iii) A summary on capabilities such as resources and past experience of providing such services Information provided in the Executive Summary is to be presented in a clear and concise manner.	Vendor to provide
12	Technical Proposal: The proposal based on Technical Specification compliance as per Annexure 10 should be submitted with pages properly numbered, each page signed and stamped.	Vendor to provide



Section #	Section Heading	Proforma Given
13	Copy of the tender document along with the addendums duly digitally signed by authorized signatory.	Vendor to provide
14	Masked price bid (Please note that the masked price bid should be exact reflection of the commercial bid except that the masked price bid <u>should not contain any financial information</u>)	Annexure 15
15	Integrity Pact	Annexure 16
16	Letter of authorization from the company authorizing the person to sign the tender response and related documents.	Vendor to provide
17	A certified copy of the resolution of Board, authenticated by Company Secretary/Director, authorizing an official/s of the company or a Power of Attorney copy to discuss, sign agreements/contracts with the Bank.	Vendor to provide
18	Methodology and Detailed Project Plan	Annexure 17
19	Bidder Profile Format	Annexure 18
20	Details of Past implementation	Annexure 19
21	Security and Compliance	Annexure 20

Commercial Bid (Annexure 14) must be sealed and signed by authorized signatory by the bidder and must be submitted through online mode and after encryption by e-signer tool only available on the portal <https://bobtenders.abcprocure.com>. Commercial bid must be digitally signed by authorized signatory.

The Commercial bid submission as part of the RFP response without encryption are liable to be rejected.

**Annexure 02 - Eligibility Criteria****Eligibility Criteria Compliance to be directly met by the bidder**

S. No	Eligibility Criteria	Complied (Yes/No)	Supporting Required
A	General		
1	Bidder must have been in business for a minimum period of 3 years (as on date of RFP release)		Articles of association (AoA) and other Documentary evidences to be attached
2	Bidder must be a Government Organization / PSU / PSE / LLP or private / public limited company in India at least for the last 3 years.		Documentary Proof to be attached (Certificate of Incorporation)
3	Bidder must not be blacklisted / debarred by any Statutory, Regulatory or Government Authorities or Public Sector Undertakings (PSUs / PSBs) since 1st April 2017 till date.		Letter of confirmation from Bidder.
4	The Bidder to provide information that any of its subsidiary or associate or holding company or companies having common director/s or companies in the same group of promoters/management or partnership firms/LLPs having common partners has not participated in the bid process.		Letter of confirmation from Bidder.
5	The Bidder to provide an undertaking on his letter head that all the functional and technical requirements highlighted as part of Technical Scope are covered in totality in the proposal submitted by the Bidder.		Letter of confirmation from Bidder.
B	Financial		
1	The Bidder must have registered a turnover of Rs.100 Crores or above (from Indian Operations only) in each year during the last three completed financial years -2014-		Audited Financial statements for the financial years 2014-15, 2015-16 and 2016-17 Certified letter from the



S. No	Eligibility Criteria	Complied (Yes/No)	Supporting Required
	15, 2015-16 and 2016-17 (Not inclusive of the turnover of associate companies)		Chartered Accountant. The CA certificate in this regard should be without any riders or qualification.
2	The Bidder must be net profit (after tax) making entity (from Indian operations only) continuously for the last three years, that is financial years - 2014-15, 2015-16 and 2016-17		Audited Financial statements for the financial years 2014-15, 2015-16 and 2016-17. Certified letter from the Chartered Accountant. The CA certificate in this regard should be without any riders or qualification.
C	Technical		
1	The Bidder should be an OSD or authorized partner of OSD for supply of licenses and solution implementation and maintenance support under warranty / AMC / ATS for the solution.		Letter of confirmation from OSD need to be submitted.
2	If OSD is bidding directly they cannot submit another bid with any Bidder.		Letter of confirmation from OSD in case if OSD is bidding directly
3	One Bidder can bid only with one OSD and similarly one OSD can bid with only one Bidder		Letter of confirmation from the Bidder and OSD
D	Experience & Support Infrastructure		
1	The proposed HRMS Solution should have been implemented and running live in at least 2 commercial banks with a combined user base of 25,000 users, in last 3 years.		Details needs to be submitted in the format specified in Annexure 18 and Annexure 19 along with Documentary Proof of order / contract copy / customer credentials.
2	The proposed Payroll Solution should have been implemented and running live in at least 2 commercial banks with a combined user base of 25,000 users, in last 3 years.		Details needs to be submitted in the format specified in Annexure 18 and Annexure 19 along with Documentary Proof of order



S. No	Eligibility Criteria	Complied (Yes/No)	Supporting Required
			/ contract copy / customer credentials.
3	The proposed Performance Management Solution should have been implemented and running live in at least 1 commercial banks with a combined user base of 25,000 users, in last 3 years.		Details needs to be submitted in the format specified in Annexure 18 and Annexure 19 along with Documentary Proof of order / contract copy / customer credentials.
4	Bidder should have direct support offices in Mumbai, Vadodra and Hyderabad. In case direct support office of the bidder is not present in Vadodra / Hyderabad / Mumbai then an undertaking to be provided by the Bidder stating that direct support would be provided by the bidder at Vadodra / Hyderabad / Mumbai whenever desired by the Bank		Letter of confirmation

All dates if not specified to be applicable from the date of the RFP.

Authorized Signatory

Name:

Designation:

Vendor's Corporate Name

Address

Email and Phone #



Annexure 03 - Bid Security Letter

1. WHEREAS, (hereinafter referred to as "Vendor") has submitted its proposal and response dated.....(hereinafter referred to as "Bid") for and all the requirements described in the Request for Proposal No. along with its amendments/annexures and other ancillary documents (hereinafter referred to as "RFP") as issued by Bank of Baroda.
 2. We having our registered office at(hereinafter called the 'VENDOR') are offering security deposit of Rs. _____/- (Rupees _____ only) vide [demand draft / pay order / issued by a scheduled/Commercial bank] bearing No. _____ dated _____ [drawn on/ issued by] _____ (hereinafter referred to as "Bid Security") favouring 'Bank of Baroda for consideration of the Bid of the above mentioned Vendor.
 3. The Vendor specifically acknowledges and agrees that the Vendor has furnished his Bid on the understanding and condition that, if the Vendor:
 - a) Withdraws its Bid during the period of Bid validity specified by the Vendor on the Tender Documents or
 - b) Having been notified of the acceptance of its Bid by Bank of Baroda during the period of validity: -
 - i. Fails or refuses to execute the contract form if required; or
 - ii. Fails or refuses to furnish the Security Deposit / Performance Guarantee, in accordance with the instruction to Vendors.
- Bank of Baroda has the right to forfeit the entire Bid Security amount merely on the occurrence of one or more of the foregoing events without demur or a written demand or notice to the Vendor.
- 4 The Bid Security shall be returned to unsuccessful Vendors within thirty (30) days from the date of the award of contract to a successful Vendor. The Bid Security shall be returned to the successful Vendor upon furnishing of Performance Security in accordance with the instructions of the Vendor.
 - 5 The Vendor undertakes that it will not cancel the Bid Security referred to above till the Vendor is returned the Bid Security from Bank of Baroda in accordance with the foregoing conditions.
 - 6 The Vendor represents and warrants that the Vendor has obtained all necessary approvals, permissions and consents and has full power and authority to issue this Bid Security and perform its obligations hereunder, and the Vendor has taken all corporate, legal and other actions necessary or advisable to authorise the execution, delivery and performance of this Bid Security. The absence or deficiency of authority or power on the part of the Vendor to issue this Bid Security or any irregularity in exercise of such powers shall not affect the liability of the Vendor under this Bid Security.



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

Place:

Date:

Seal and signature of the Vendor



Annexure 04 - Bid Security Form

(FORMAT OF BANK GUARANTEE (BG) IN LIEU OF EARNEST MONEY DEPOSIT)

To

The CTO & Head- Projects & CRM
Bank of Baroda, Baroda Sun Tower
Bandra Kurla Complex
Bandra (E), Mumbai 400 051

WHEREAS _____ (hereinafter called "the Vendor") has submitted its bid dated _____ (date of submission of bid) for providing _____ and its components in response to Request for Proposal (RFP) No. _____ (hereinafter called "the Bid") issued by Bank of Baroda.

KNOW ALL PEOPLE by these presents that WE _____ (name of bank) of _____ (name of country) having our registered office at _____ (address of bank) (hereinafter called "the Bank") are bound unto Bank of Baroda (hereinafter called "the Purchaser") in the sum of _____ for which payment will and truly to be made to the said Purchaser, the Bank binds itself, its successors and assigns by these presents. Sealed with the common seal of the said Bank this _____ day of _____, 20____.

THE CONDITIONS of this obligation are:

1. If the Vendor withdraws its Bid during the period of bid validity specified by the Vendor on the Bid Form; or
2. If the Vendor, having been notified of the acceptance of its bid by the Purchaser during the period of bid validity :
 - a) fails or refuses to execute the mutually agreed Contract Form if required; or
 - b) fails or refuses to furnish the Performance Security, in accordance with the Terms and Conditions of the Contract;

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

This guarantee will remain in force up to and including 90 days after the period of the bid validity, and any demand in respect thereof should reach the Bank not later than the above date.

Notwithstanding any other term contained herein

- a) this guarantee shall be valid only up to _____ (Insert Guarantee End Date) whereupon it shall automatically expire irrespective of whether the original guarantee is returned to the Bank or not; and
- b) the total liability of Bank under this guarantee shall be limited to Rs. _____/-



(Rupees _____ only).

Place:

SEAL

Code No.

SIGNATURE.

NOTE:

1. VENDOR SHOULD ENSURE THAT THE SEAL & CODE NO. OF THE SIGNATORY IS PUT BY THE BANKERS, BEFORE SUBMISSION OF BG
2. STAMP PAPER IS REQUIRED FOR THE BG ISSUED BY THE BANKS LOCATED IN MUMBAI.



Annexure 05 – Undertaking

To

The General Manager (CTO & Head - IT Projects & CRM)
Bank of Baroda, Baroda Sun Tower
Bandra Kurla Complex
Bandra (E), Mumbai 400 051

Sir,

Sub: RFP for Supply, Implementation and Maintenance of HRMS, Payroll & PMS Solution.

1. Having examined the Tender Documents including all Annexures and Appendices, the receipt of which is hereby duly acknowledged, we, the undersigned offer to supply, deliver, implement and commission ALL the items mentioned in the 'Request for Proposal' and the other schedules of requirements and services for your bank in conformity with the said Tender Documents in accordance with the schedule of Prices indicated in the Price Bid and made part of this Tender.
2. If our Bid is accepted, we undertake to comply with the delivery schedule as mentioned in the Tender Document.
3. We agree to abide by this Tender Offer for 180 days from date of bid opening and our Offer shall remain binding on us and may be accepted by the Bank any time before expiry of the offer.
4. This Bid, together with your written acceptance thereof and your notification of award, shall constitute a binding Contract between us.
5. a) We undertake that in competing for and if the award is made to us, in executing the subject Contract, we will strictly observe the laws against fraud and corruption in force in India namely "Prevention of Corruption Act 1988".
b) Commission or gratuities, if any paid or to be paid by us to agents relating to this Bid and to Contract execution, if we are awarded the Contract are listed below.
 - i. Name and Address of the Agent -
 - ii. Amount and Currency in which Commission paid / payable -
 - iii. Purpose of payment of Commission (If commission is not paid / not payable indicate the same here) -
6. We agree that the Bank is not bound to accept the lowest or any Bid the Bank may receive.
7. We certify that we have provided all the information requested by the bank in the format requested for. We also understand that the bank has the exclusive right to reject this offer in case the bank is of the opinion that the required information is not provided or is provided in a different format.

Dated this.....by20

Yours faithfully,

Authorized Signatory

Name:

Designation:

Vendor's Corporate Name

Address

Email and Phone #

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



Annexure 06 - Comments Format

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

Name of the Respondent:

Contact Person from Respondent in case of need.

Name :

Tel No:

e-Mail ID:

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

Authorized Signatory

Name:

Designation:

Vendor's Corporate Name

Address

Email and Phone #

Date:



Annexure 07 –Conformity Letter

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

To

The General Manager (CTO & Head- IT Projects & CRM)
Bank of Baroda, Baroda Sun Tower
Bandra Kurla Complex
Bandra (E), Mumbai 400 051

Sir,

Sub: RFP for Supply, Implementation and Maintenance of HRMS, Payroll & PMS Solution.

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

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

Yours faithfully,

Authorized Signatory

Name:

Designation:

Vendor’s Corporate Name

Address

Email and Phone #



Annexure 08 – Letter of Undertaking from OSD / OEM

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

To

The General Manager (CTO & Head- IT Projects & CRM)
Bank of Baroda, Baroda Sun Tower
Bandra Kurla Complex
Bandra (E), Mumbai 400 051

Sub: RFP for Supply, Implementation and Maintenance of HRMS, Payroll & PMS Solution.

Sir,

We (Name of the OSD / OEM) who are established and reputable manufacturers / developers of having factories at, and do hereby authorize M/s (who is the vendor submitting its bid pursuant to the Request for Proposal issued by the Bank) to submit a Bid and negotiate and conclude a contract with you for supply of which are manufactured / developed by us against the Request for Proposal received from your Bank by the Bidder and we have duly authorised the Bidder for this purpose.

We undertake to perform the obligations as set out in the RFP in respect of such services and hereby extend our support and services through M/s..... during the 5 year contract period as per terms and conditions of the RFP.

We assure you that in the event of M/s not being able to fulfill its obligation as M/s vendor in respect of the terms defined in the RFP, (OEM / OSD Name) would continue to meet these either directly or through alternate arrangements without any additional cost to the Bank.

Yours Faithfully

Authorised Signatory

(Name:

Phone No.

Fax

Email

)



Annexure 09–Undertaking of Information Security

(This letter should be on the letterhead of the bidder as well as the OSD/ Manufacturer duly signed by an authorized signatory on Information security as per regulatory requirement)

To

The General Manager (CTO & Head- IT Projects & CRM)
Bank of Baroda, Baroda Sun Tower
Bandra Kurla Complex
Bandra (E), Mumbai 400 051

Sir,

Sub: RFP for Supply, Implementation and Maintenance of HRMS, Payroll & PMS Solution.

We hereby undertake that the proposed hardware / software to be supplied will be free of malware, free of any obvious bugs and free of any covert channels in the code (of the version of the application being delivered as well as any subsequent versions/modifications done)

Yours faithfully,

Authorized Signatory

Name:

Designation:

Vendor's Corporate Name

Address

Email and Phone #



Annexure 10–Technical Requirement (Project Scope)

Bank is requesting a proposal for providing a comprehensive HRMS, Payroll & PMS System for all its officers in its domestic and international locations. HRMS and Payroll solution needs to be initially implemented for ~55,000 employees and ~35,000 ex-employees of the Bank based out of India. PMS system (Optional requirement) will be initially implemented for ~25,000 employees of the Bank. It will also include employees deputed in domestic & international subsidiaries and branches. All employees in other bank subsidiaries and RRBs will also be covered in the proposed system.

The solution needs to replace the existing core HRMS solution – Oracle e-business suite and existing Payroll solution – Fluou. For PMS, bank has an in-house developed tool – GEMS. Currently, both HRMS and Payroll solutions are separate in the bank and bank intends to implement an integrated HRMS, Payroll & PMS solution in Cloud/Hybrid model.

Project Scope

1. The vendor is required to supply, configure, customize, implement, integrate and maintain the HRMS, Payroll & PMS Solution in Cloud / Hybrid solution. If for any functionality hardware is required to be procured by the bank, vendor needs to provide the hardware sizing that supports the proposed solution. The solution will be accessed by all the employees of the bank in India and international locations – this includes 5500+ branch network, and 100+ regional offices and back offices and 100+ international branches and domestic subsidiaries and RRBs.

2. Broad Scope of Work

A. General

- 1) The bidder is expected to provide the solution in a hybrid model (involving Cloud and on premise) including implementation, testing, migration, installation, providing requisite interfaces, training and to provide technical support for a period of 5 years. The five-year period consists of warranty and subsequent AMC/ATS period, from the date of implementation.
- 2) The HRMS, Payroll & PMS solution must support latest versions of standard browser such as (but not limited to) Internet Explorer, Google Chrome, Mozilla Firefox. The bidder should clearly mention the browsers and versions supported in the technical bid documents.
- 3) The HRMS, Payroll & PMS solution must provide off-the-shelf mobility for latest versions of Android and iOS. The mobile application must support all the core features of the desktop application.
- 4) The bidder should provide the list of features which are available as part of mobile application. Bank can also ask the bidder to include new features, if deemed necessary.
- 5) The HRMS, Payroll & PMS solution must provide reporting utility that supports real-time and graphical reporting (with standard charts such as line charts, bar charts etc.).
- 6) The bidder should provide the complete documentation including technical, operations, user manual, design documents, process documents, technical

manuals, functional specification, system configuration documents, system/database administrative documents, debugging/ diagnostics documents, test procedures etc.

- 7) If there is any upgrades to the source systems such as CBS or DWH, then it will be Vendor's responsibility to ensure that appropriate integration is provided without affecting the normal course of business.
- 8) Migration of the data, including the extraction of data from the existing HRMS and payroll system is the responsibility of the vendor.
- 9) The ATS support for HRMS, Payroll & PMS Solution should include the following:
 - i. All minor and major version upgrades during the period of contract at no extra cost.
 - ii. Program updates, patches, fixes and critical security alerts as required.
 - iii. Documentation updates.
 - iv. 24*7 support for HRMS, Payroll & PMS Solution related malfunctions as defined in SLAs and ability to log requests online
- 10) If Bank selects another vendor after expiry of contract period or during the contract period due to any reason, then the bidder has to ensure seamless migration of the bank's data in the new HRMS, Payroll & PMS Solution.
- 11) In case Bank wish to migrate from cloud to on premise version, the licenses should be protected and no cost should be taken from bank for such conversion.
- 12) Bank will be at liberty to obtain unrestricted access for audits by an IS Audit agency selected by it or by Bank's internal panel of Auditors. All the data must be accessible to the auditor. Vendor should cooperate and provide necessary assistance to such IS Auditor/s and rectify all the bugs and shortcomings pointed out by the IS Auditor/s / IS audit firm appointed by the Bank or internal panel of Bank's Auditors. The expenses towards this IS Audit will be borne by the Bank.
- 13) The bidder should comply with the Bank's IS Security policy in key concern areas relevant to the RFP. Some of the key areas include (but not limited to):
 - i. Responsibilities for data and user privacy and confidentiality
 - ii. Responsibilities on system and software access control and administration
 - iii. Data Encryption/Protection /XBRL requirement of the Bank
 - iv. Protect information from unauthorized modification or destruction
- 14) The service provider must keep Bank's data in a separate schema or database from other customers.
- 15) Bank's data under NO circumstances will be shared with any other organization / entity / individual / regulatory body etc.
- 16) The bidder should provide details of audit trails and logs implemented for other commercial banks, along with the technical bid documents.
- 17) The system must provide access to structured / unstructured data via a self-service portal through RESTFUL APIs.
- 18) Bank's data must be destroyed, not obfuscated by service provider after the contract is completed.
- 19) Any planned downtime for HRMS, Payroll & PMS Solution maintenance/ upgrade



must be communicated to the bank 30 days in advance. No data loss should occur during the maintenance/upgrade.

- 20) The bidder must provide at least 1 additional environment apart from the production environment at no additional cost.
- 21) The HRMS, Payroll & PMS solution should be capable of federating with the Bank's IdPs using SAML.
- 22) Vendor must provide an alert service for any problems with the service being unavailable. This can be in the form of SMS / E-Mails and should be sent to persons mentioned in the escalation matrix.
- 23) Solution architecture should have the capability to be configured in active-active mode or active-passive mode as per the requirements of the bank.
- 24) All the requirements mentioned in Annexure 20 – Security and Compliance are met. The bidder should submit the responses for Annexure 20 as part of the technical bid.
- 25) The bidder should also provide documents related to Review Records/ Test Bug Reports/ Root Cause Analysis Report, list of all product components, list of all dependent/ external modules and list of all documents related to traceability of the product as and when applicable.
- 26) Any level or version changes, clarification, corrections and modifications in the above mentioned documents should be supplied by the bidder to the Bank free of cost in a timely manner.
- 27) The HRMS, Payroll & PMS System should support online/ real-time comprehensive and customizable management dashboard.
- 28) If additional infrastructure is required in bank's DC & DR, then the bidder must design & size the hardware required at the data center & the disaster recovery site. The bidder is supposed to provide the complete hardware and network requirement for the end-to-end functioning of the solution

B. Functional

1 Scope Requirement

1.1 General Requirements

- 1.1.1 The fundamental requirement would be to capture all types of employee data including required for pay-roll, claim benefits (reimbursement), staff welfare schemes, Staff Loans, incentives, income tax and including terminal benefits (PF, Pension, Gratuity, Additional Retirement Benefit, National Pension System) as well as all data related to performance evaluation of employees including targets, actuals and minimum performance benchmarks.
- 1.1.2 The system is estimated to be used by 3500 concurrent users which should be scalable to 5000. Provision needs to be done for more users using application for short durations.
- 1.1.3 The system must cater to around 56,000 employee's data with an increase in employees year on year of 5-10%. Existing ex-employee and active-pensioner data needs to be maintained in the system.
- 1.1.4 The system should provide web content management capabilities for providing web



based access to users.

- 1.1.5 The system should be accessible over both Bank's Intranet and Internet. It should also support mobile app for both Android and iOS platform. Employees should be able to access their profile through both web page and mobile application.
- 1.1.6 The solution should support multiple levels of authorization such as access through smart card / Bio-metric authentication.
- 1.1.7 The solution needs to be integrated with various bank systems like SSO, CBS, DWH, DMS for seamless employee experience. Integration will be required with external system like Aadhaar.
- 1.1.8 System should take care of organization structure on group company concept.
- 1.1.9 System should be capable of handling Bank Level, State level, Organisation level, individual level of customisation or configuration.
- 1.1.10 System should have hierarchy of command, responsibility based controls.
- 1.1.11 System should be capable of payment of Arrears for Individual / bulk including wage revisions.
- 1.1.12 System should adhere to ALL the statutory requirements of the Land
- 1.1.13 System should be capable of printing regular and ad-hoc reports in EXCEL / PDF formats. System of generation of reports should be user friendly. The user should be able to design his query by selecting the desired field parameters and generate reports.
- 1.1.14 System should provide Employee Self Service and also scope for submitting "ON-BEHALF OF" facility. Using ON-BEHALF OF facility, it should be possible to part-delegate or delegate different transactions to different users.
- 1.1.15 System must be capable of catering to persons with Disability employees to use the system. (Must have standard accessibility features enabled for them.)
- 1.1.16 System should provide for 4-eye Principle/ maker-checker concept for data inputs.
- 1.1.17 System should support hierarchy of position / person / organisation/ job etc
- 1.1.18 Authorized users at ROs or elsewhere should be able to download data in the form of spreadsheets (excel or lotus) and use it locally in vendor supplied tools as pivot tables. Data should be updatable in the excel sheets with upload from excel capability.
- 1.1.19 Employee data to include his photograph & signature in scanned form
- 1.1.20 Notifications to users for any Pending/Upcoming task or Reminders set by admins
- 1.1.21 System should provide email alerts / notifications to the users based on any events / triggers. The users should be able to see the task lists / notifications on the system. The system should also be able to send auto reminders based on due dates.
- 1.1.22 System should be capable of handling employees on contract basis



- 1.1.23 Should be able to handle different salary / rules for employees even within the same grade / scale
- 1.1.24 Should be able to handle multiple languages (especially HINDI). Bi-lingual data functionality to cater for Official language requirements. Being a public sector banking organization, government's official language policy (Hindi – Rastrabhasha) guidelines are applicable on it. Input data in Hindi is not required or may be very limited to personal details. However, bilingual report generation in standardized formats etc are required and the system should have facility for converting the labels, menus, static text in the concerned language script. For Payroll, payslip may be required in Hindi.
- 1.1.25 System will be required to import legacy data into the system.
- 1.1.26 System will be required to make provision for POP-UP facility for specified fields.
- 1.1.27 Solution should provide provision of FAQs for all the general operations of the bank.
- 1.1.28 Solution should have provision to allow employees to raise query and it should in turn get assigned to respective department for resolution.
- 1.1.29 Security system should be so powerful that any hacker should not be able to make any unauthorized FTP and download sensitive information. For data stored on cloud, application should support encryption of data at rest and in transit.
- 1.1.30 Entire system should be audited for system integrity, information security & meeting privacy laws
- 1.1.31 Audit Trails need to be made available (as and when required by bank) for all the operations.
- 1.1.32 Graphic Tools to be made available in the system
- 1.1.33 On line update & batch update of central database by authorized personnel
- 1.1.34 Fast Entry Screens to allow dealing with many individual personal records and transaction at once.
- 1.1.35 Dynamic Events should be initiated by the system. When the user starts to enter the information, it indicates what he wants to achieve. In case there is any error in the input field, the system should provide an intuitive message to the user.
- 1.1.36 Automatic Date monitoring which is continuous for all dates of significance to the personnel function. Date stamping as per the concerned country format.
- 1.1.37 Maker Checker concept should be incorporated in all the workflows.
- 1.1.38 Centralized database with application tools at user level to region/area specific data
- 1.1.39 High level of parameterization
- 1.1.40 Structured formats for various employee claims.
- 1.1.41 The system should be able to cater with minimum data entry and auto updation of relevant screen and programs.



- 1.1.42 Data tool-up loader (in the form of excel/lotus 123 worksheets) for bulk up-loading of data at ROs
- 1.1.43 Provision for extracting database at user point for use in excels/lotus 123 sheets in off-line processing mode.
- 1.1.44 Provision for bulk uploading of data / documents
- 1.1.45 On-line data entry with built-in error messaging system.
- 1.1.46 Onsite support should be available for all modules from the date of implementation.
- 1.1.47 Service level agreement should ensure payouts to be done on time (e.g support person would be made available and ensure SALARY is paid on the date of SALARY)
- 1.1.48 Performance tuning whenever required will be carried out if the system does not cater to the concurrent load of users.
- 1.1.49 Integration with other systems of the Bank and other 3rd party products
- 1.1.50 Compliance of all Laws of the land w.r.t employment
- 1.1.51 Facility to upgrade as per changes in law of the land
- 1.1.52 Role based attachment of menus / reports
- 1.1.53 Facility for print/ email bulk communication through pre-defined template.
- 1.1.54 Option to apply for NOC
- 1.1.55 Quick Help Wizard at each menu
- 1.1.56 Site Map
- 1.1.57 Responsive and user-friendly UI for easy navigation, compatible on most browsers
- 1.1.58 Option to upload video tutorials / job cards for commonly used menus
- 1.1.59 The HRMS, Payroll & PMS Solution should have the capability of providing comprehensive audit trail features to monitor activity of specific programs and data files etc. The solution should also provide on-line access to audit trail information (including time/date stamp, user ID change log). It should also keep a track of activities executed by the Application system administrator or support user.
- 1.1.60 The HRMS, Payroll & PMS Solution should be able to provide session log files. The user should be able to analyse the information (e.g., account id, session time etc.). The solution should provide tracking of the client's IP & Network Interface address.
- 1.1.61 The HRMS, Payroll & PMS Solution should support storage and display of event history of all users and transactions.
- 1.1.62 The bidder should follow international standard for Web accessibility guidelines (WCG3) and proposed solution should be fully accessible to all persons with disability.
- 1.1.63 The HRMS, Payroll & PMS Solution should support online/ real-time



comprehensive and customizable dashboard for different users.

- 1.1.64 The HRMS, Payroll & PMS Solution should support the functionality of viewing/ updating/ uploading/ deleting universal docs such as process guidelines, etc.
- 1.1.65 The HRMS, Payroll & PMS Solution should provide graphical organizational chart for every user. Organizational Chart should be printable, using a delivered print functionality for at least 3 org levels.
- 1.1.66 The system should support personalization of overall solution with respect to color theme, logos, branding and background image.
- 1.1.67 The HRMS, Payroll & PMS Solution should provide a robust MIS support by way of Dashboard with certain in-built reports. These reports would inter alia cover extraction of data for various internal, external MIS and regulatory purposes including transaction monitoring activities. The indicative list of reports that are supported off-the-shelf must be provided with technical bid.
- 1.1.68 The HRMS, Payroll & PMS Solution should have an inbuilt report writing tool to build new reports based on identified parameters and schedule them at pre-set frequencies.
- 1.1.69 The HRMS, Payroll & PMS Solution should allow archiving of historical reports.
- 1.1.70 The HRMS, Payroll & PMS Solution must be simple to use and navigate.
- 1.1.71 System design must be intuitive and user centric (smart layout - easy to navigate to most core features from the landing page with minimal clicks).
- 1.1.72 System must provide multi-device and multiple form factor support.
- 1.1.73 System must support modular design with a provision to easily add/ deactivate/ remove features without additional back-end code changes.
- 1.1.74 System must support fast deployment and easy scalability.
- 1.1.75 The Cloud system must have at least four upgrades/ releases per year for the past three years. For on premise solution, the upgrade decisions will be taken by the bank.
- 1.1.76 System to provide workflow based solutions including query back to the lower level along with provision for attachments in PDF/JPG/DOC/XLS(X) formats.
- 1.1.77 System should provide for scheduling activities during Non-peak periods without manual interference.
- 1.1.78 System should provide reports regarding all types of integration & its success and failure status.
- 1.1.79 Statutory changes should be updated in system by way of patch.

1.2 PAYROLL

- 1.2.1 Payroll for all employee types OFFICERS/ CLERKS/ SUBSTAFF/ DIRECTOR, contract employees, Temporary workers, and local employees posted abroad. Pay roll processing would also be on the centralized basis, International payroll / Indian



Payroll.

- 1.2.2 Should handle multiple grade structure – including fixed and variable elements of pay
- 1.2.3 Given the distributed nature of branches and regional offices, All Regional Offices/ branch would print their own pay-slips for people working in their jurisdiction and arranges distribution. The module should help in CTC calculation by taking into account all quantifiable expense (direct / indirect) made by the Bank and for this it should integrate with all sorts of employee expenses be it TE/DA, Training cost, perks, welfare cost, medical costs, terminal benefits etc.
- 1.2.4 It should also integrate with the existing source systems of the bank like loan module for deductions details, Medical, TA/DA.
- 1.2.5 System should be capable of doing Salary Administration, Perquisites, Taxation, Calculation of Arrears, full and final settlement
- 1.2.6 Auto generation of reconciliation reports for all debits and credits made from CBS. The vendor shall be responsible for developing the reconciliation reports from the HRMS / Payroll solution. The bank will provide the reports from CBS.
- 1.2.7 Salary Planning (Sensitivity analysis tool).
- 1.2.8 System should be capable of configuring every head of pay (earnings/deductions) as per the bank's guidelines. Should be able to calculate based on the effective date on which the component is introduced.
- 1.2.9 Should be flexible enough to allow configuration of new Heads of pay / components of pay with effect from any effective date (prior to current date or subsequent to current date).
- 1.2.10 Configuration of heads of pay should be feasible at Bank Level, state level, branch/ office level, cadre level, Grade level, Position level, Individual level etc.
- 1.2.11 Data of Employees would be available from HRMS Module which should be used for salary. System should pull in the required data from HRMS at the required frequency with effective start date and end date.
- 1.2.12 Rate charts (e.g HRA/CCA etc) should be configurable within the system.
- 1.2.13 On any new employee addition, check should be available on the PAN number of the employee. PAN to be validated with the NSDL site for correctness. Report to be made available for incorrect PAN. Bank will facilitate availability of necessary APIs / platform for building integration with NSDL.
- 1.2.14 Certain deductions are to be paid to Third Party(LIC,COURT PAYMENTS,PROF TAX) etc, For these payments slips are to be generated and head wise amounts deducted should be made available in these heads for each branch. Proper Identification tags (CBS) to differentiate the amount credited is for which deduction and pertaining to which employees.
- 1.2.15 Should calculate arrears on every component which is to be paid on prorata basis.

- a. Sample instances of arrear calculations required
- b. Employee transferred from higher CCA to lower CCA. If paid on the basis of higher CCA earlier, the same should be recovered automatically by the system next month.
- c. If employee is suspended/ effected punishment in previous month and data entry is done in current month, the system should recover amount from effective date.
- d. If employee is given fitment it should be automatically pay rise from the effective date by applying DA rates as applicable at that point of time.
- e. Arrears due to wage revision / Bipartite Settlement in which the entire salary structure would change with a particular effective date. System should be able to identify the changes in heads of pay with effective date and compute the arrears to be paid under each head. Calculated arrears result for each salary head should be available for each month for which arrears are calculated. Arrears computation due to wage settlement should be separately generated and should not be with the regular salary generation.
- f. System should automatically prorate payments with reference to the effective date of change of data (i.e promotion/suspension/overseas posting etc.) For e.g employee is promoted from CL TO JM1 w.e.f from 10-Jun-2016 then he should be paid salary from 1 to 9 June in CLERICAL structure and from 10 June in JM1 structure.
- g. Unpaid / half paid leave effected in payroll of particular month at leave availed date.

1.2.16 Adjustments in any heads of PAY(earnings/deductions side)

- a. For any back dated payments to be made system should be able to capture with effective dates.(for e.g. basic pay fitment for ex-servicemen, each pay period what is the basic pay should be taken). Adjustments would be negative as well as positive.
- b. Adjustments Heads have to be given access as per role – e.g In Some heads adjustment is to be done at branch level, some heads it is to be done at regional/corporate level.
- c. Provision to capture the reason for making the adjustment. In each record for each heads of pay.

1.2.17 PROTECTION OF PAY: Allowances paid for protection of pay should also be configurable.

1.2.18 UNION/WELFARE ASSOCIATIONS:: Deductions done towards these should be credited to accounts as mentioned against their names in the MASTER. Deduction should be as per the monthly subscription.

1.2.19 Deduction for these welfare associations would be based on CADRE/GRADE/CASTE CATEGORY of employee, system should allow for maintenance of master tables for these and based on these tables the deduction

would be computed.

- 1.2.20 PROFESSIONAL TAX: Professional Tax should be calculated as per provisions of each state. Exemptions to be taken care automatically by the system for each state/ city. Whenever Professional Tax rules of any state changes, same should be provided by way of patches or configuration. Profession Tax deducted has to be remitted at different intervals and different rates for different states/ cities. Should be automatically taken care based on the place of posting of employee if transferred.
- 1.2.21 LOAN DEDUCTIONS::
 - a. Deductions for staff loans will to be done from pay after taking data from CBS vide integration.
 - b. Deductions of Loans should be returned to the CBS through integration
 - c. Provision to be made available in payroll module to capture Master details of STAFF loan, Addition of any new Loan in Master to be done from front end and automatic pulling of data from CBS to begin.
 - d. Loans pulled in from CBS should be visible through front end screens in Payroll.
 - e. Provision to stop / change the amount of deduction in payroll.
 - f. Bulk upload required for certain type of deductions.
- 1.2.22 OVERTIME payment: System should provide input screens for entry overtime and calculated amount should be paid under the head overtime.
- 1.2.23 TEMPORARY SPECIAL PAY: System should provide input screens for entry of temp. Special pay and calculated amount should paid under the head special pay
- 1.2.24 BONUS CALCULATION: System should calculate BONUS as per rules and make payment.
- 1.2.25 ADVANCE SALARY: Provision to generate and pay ADVANCE SALARY centrally for all employees / for a group of branches / regions (group would be separate in different months). Advance salary vouchers should be generated separately and should be squared off when actual salary generation is done.
- 1.2.26 Proper Identification tags to be sent to CBS for advance salary and actual salary reconciliation.
- 1.2.27 Salary Disbursement vouchers to be made as per bank requirement, based on the branch the employee is attached /mapped to for salary payment. Vouchers to be posted directly into the CBS platform.
- 1.2.28 No employee should be paid salary twice.
- 1.2.29 VOUCHER GENERATION: System should generate vouchers with both Debit and Credit legs both. Master to be kept to map which head of pay will post to which GL head. These masters should be modifiable from front end.
- 1.2.30 GL / PL head balances to be maintained in PAYROLL, The balances of which will be used to reconcile with CBS to check if there is any manual payment of salary / other perks by the branches.



- 1.2.31 Vouchers should be posted to the respective branch a/cs which belong to the employee's branch / mapped branch. RBOs require a different voucher.
- 1.2.32 Salary Advance is also paid to individual employees.
- 1.2.33 DEARNESS ALLOWANCE RATES: Allow provision for storing of DA SLABs as also provision for changing of DA rates.
- 1.2.34 Provision to TABULATE rates wherever applicable.
- 1.2.35 TYPES OF HRA PAYABLE: Screens to capture details of Accommodation type of employee with an effective date. Employee will apply for change of accommodation type and the same will be approved by the approver. Only on approval the same should show effect in payroll.
- 1.2.36 DISCIPLINARY ACTIONS: System should provide for input screens for adding/modifying data/deleting related to punishments/ restorations/suspensions. This restrictive field needs to be highly secured. Pop up regarding pending cases at time of promotion / transfer.
- 1.2.37 Disciplinary Action Implementation screen for all types of Penalty Implementations.
- 1.2.38 HOLIDAY MASTER: System should be able to capture days of holiday in the bank with description for the Holidays, Holidays could be unit specific (branch/region/bank/state). Holidays may also be GENDER specific.
- 1.2.39 Bulk upload required for Holiday Master.
- 1.2.40 Weekly off configuration. Weekly off may be specific to an individual also.
- 1.2.41 MASTER DATA: Wherever master data is pulled into payroll module vide integration it should be stored with effective date and should be modifiable through front end screens.(e.g EMPLOYEE MASTER, ORGANIZATON MASTER, CHART MASTERS etc.).
- 1.2.42 Salary rules for all employee types would be different
- 1.2.43 Organization structure for Head Office and Central Office is different and would require the system to compute them as single region even though departments are attached to them as branches.
- 1.2.44 For some organisation salary to be debited to other SOL ID
- 1.2.45 Salary recovery rules to be configured, Additional recoveries like bond money, notice pay etc. also along with salary. Calculation of ALL Taxes like Income Tax, GST etc.
- 1.2.46 Availability of monthly / yearly salary slips including all heads as applicable for the employee.
- 1.2.47 Provision to show the income tax calculation in salary slip.

1.3 INCREMENT

- 1.3.1 All types of increment should be automatically generated by the system as per banks rules.



- 1.3.2 System should be configurable for release of all types of Increments annual as well as stagnation increments.
- 1.3.3 Release of PQP AND FPP as per guidelines of the bank. Including where release of increment date and release of PQP date are not same
- 1.3.4 Notional Release of increments.
- 1.3.5 Release of increments in case of Disciplinary Actions.
- 1.3.6 Stoppage of Increments.
- 1.3.7 Restoration of Increments from back date also
- 1.3.8 Qualification Increments.
- 1.3.9 Postponement of increments due to loss of pay.
- 1.3.10 Release of Subsistence Allowance.
- 1.3.11 Increment generation at the time of Suspension.(rules as per the cadre)
- 1.3.12 Increments Generation should be a scheduled activity and should run automatically as part of month begin activities.
- 1.3.13 Screens to be provided from front end to see the increment history and well as current increment details.
- 1.3.14 Increments are required to be approved for different units/ region, hence system should allow for approvals by listing down the employees and region can use single button (select all) and approve all unapproved increments.
- 1.3.15 On Approval of increments system should automatically change the values in the heads of pay which are affected in the salary module and also update the next increment date.

1.4 INCOME TAX

- 1.4.1 Income Tax should be deducted from salary as per rules.
- 1.4.2 System should calculate Provisional Income tax (Calculation on salary paid so far and future salary to be computed on current month salary particulars) and prorate and deduct income tax for each month.
- 1.4.3 Online Investment declaration Provisional and Actual using self service
- 1.4.4 Actual Investment Declaration Forms should be approval based. Approvers should be able to view the forms which are they are authorised to approve.
- 1.4.5 Provisional Declaration forms does not need approval, it should be initialized as part of year begin activities.
- 1.4.6 Actual Declarations Forms also should be automatically re-initialised when it is deployed. Provision to deploy Actual FORM at banks instance.
- 1.4.7 Provision to send deadline reminders to users by Admin. Bank will facilitate in integration with the existing mailing solution.



- 1.4.8 Manager should be able to approve the investment declarations made by the employee.
- 1.4.9 Provision to upload the investment proofs by employee and the uploaded proof should be visible to the manger for verification.
- 1.4.10 Provision to un approve the approved declaration. This provision should be available at either Regional/Zonal / Corporate Office level. Same should be allowed only till the time of last salary generation of MARCH.
- 1.4.11 After generation of salary if any rectification is needed, the feature should be available from front end to open month for re-computation.(for specific employee)
- 1.4.12 System should calculate tax and deduct the applicable tax on pro-rata basis. Wherever tax not applicable same should not be deducted. North East/Sikkim etc where tax is not to be deducted, tax should automatically stop. When employee is transferred back to any other state, accordingly tax deduction should start.
- 1.4.13 Change in income tax rules by government should be provided as patch updation.
- 1.4.14 Statutory formats should be available ready for print as per the requirement of the unit (branch/region/zone/corporate).
- 1.4.15 Income tax as applicable should be deducted by the system for any type of payments (including arrears) to employees / ex-employees.
- 1.4.16 If any payment of arrears is done in the system w.r.t to either salary, terminal benefits, employee benefits, leave encashment, incentive etc, the same should be included under the respective head for income tax computation and computation of tax to be done accordingly.
- 1.4.17 Form 16 PART A of any financial year should be available to the employees in self-service and the same would be digitally signed. The digital signature will be provided by the bank.
- 1.4.18 Form 16 PART B of any financial year should be available to the employees in self-service in PDF format
- 1.4.19 Screens for entering Signatory details have by the branch/region (unit).
- 1.4.20 Reconciliation reports giving employee wise, branch wise tax deducted for reconciling with income tax credited to CBS pool account.
- 1.4.21 Tax to be deducted on FULL AND FINAL settlement as per rules.
- 1.4.22 Calculation of perquisites as per rules.
- 1.4.23 Screens to be provided for obtaining values required for purpose of computation of perquisites.
- 1.4.24 Refund of TAX possible only by banks tax dept only. If there is a computation error and excess tax is required to be refunded, the screen would be available only to Corporate Taxation Dept. The same should show effect in Income tax computation sheet.



- 1.4.25 Separate screen to refund tax and recompute salary / F&F.
- 1.4.26 Income tax computation sheet should be available in employee self-service.
- 1.4.27 Income of employees who are rehired should be automatically clubbed for the financial year based on the PAN Number.
- 1.4.28 Centralised filing of ETDS returns. System should make available files in the format that is to be directly uploading for filing of returns.
- 1.4.29 In case of errors, it should allow for reprocessing.
- 1.4.30 Provide report of the errors observed in income tax computation.
- 1.4.31 Changes incorporated by the income tax department should be configurable from front end.
- 1.4.32 New forms that are introduced by Income tax department should be made available by support team.
- 1.4.33 If any arrears/payment is made to the ex-employee, income tax should be deducted if applicable and should be issued FORM 16.
- 1.4.34 Shadow account of tax pool account to be maintained so that balances can be reconciled with the account.
- 1.4.35 Tax transactions should reconcile branch-wise and employee-wise.
- 1.4.36 Leave Encashment / LFC encashment which are reimbursed through the benefits/travel module required to be automatically added to the respective month income tax calculation payments which are not made as part of the salary like BONUS/INCENTIVES/LOYALTY BONUS/ COURSE INCENTIVES/MEDICAL etc if taxable should be automatically be added to the gross salary for computation of tax

1.5 PERQUISITES TAX

- 1.5.1 Perquisites have to be Auto calculated by the system based on the rules.
- 1.5.2 Provision for Perquisites tax recovery for excess payment from employee at the end of the financial year.
- 1.5.3 Reconciliation reports giving employee wise, branch wise perquisite tax deducted for reconciling with Perquisite tax credited to CBS pool account

1.6 FILING OF ETDS RETURNS

- 1.6.1 Centralised filing of ETDS returns. System should make available files in the format that is to be directly uploading for filing of returns.
- 1.6.2 System should provide for running Data validation utility by income tax department.
- 1.6.3 In case of errors, it should allow for reprocessing.
- 1.6.4 Provision to incorporate the challan numbers after filing of ETDS.
- 1.6.5 When the tax amount is in excess to that which is allowed in one challan, system should automatically spilt the challan.



1.7 FULL AND FINAL SETTLEMENT.

- 1.7.1 Provision to include Investment details after employee ceases to be employee and rerun full & final settlement.
- 1.7.2 Automatically compute leave encashment payable to the employee from the leave records and incorporate while doing F&F
- 1.7.3 Trust payments (GRATUITY, ARB, PF etc) computation of pension to the employee to automatically flow in from data provided by TRUST department. These fields will be non-updatable by employee/ supervisors, amount will be input only by trust department / Trust Module.
- 1.7.4 Provision to RERUN F&F any number of times. Only excess Tax to be deducted. And diff amount to be paid
- 1.7.5 System should allow for F& F settlement any time in future also.
- 1.7.6 System should not refund any tax directly to employees.
- 1.7.7 System should handle any payment made to employee after retirement and F&F also (ie. Any kind of arrear/ recovery)

1.8 REPORTS

- 1.8.1 There are various statutory returns / details which are required to be submitted under various labour laws as;
 - a. Payment of Gratuity Act, 1972
 - b. Payment of Bonus Act, 1965
 - c. Payment of Wages Act, 1936
 - d. Labour Welfare Fund
- 1.8.2 IN ADDITION to statutory reports other type of reports required like, Arrears computation sheet. Adjustment Report.(Details list of reports will be made available at the time of system setup).
- 1.8.3 System should also allow in end user to take out dynamic reports of any head of pay / any combination with any other data available in the system.
- 1.8.4 Establishment Expenses (details of all manpower expenses-head wise incurred in a region) and Stage wise data (details of expenses at different stage of time scale in a cadre) are submitted by Regional Offices on half yearly basis. The said functionality should also help in generating these reports. Apart from these reports, there can be ad-hoc query based reports required for various types of decision making.
- 1.8.5 ACTUARIAL CALCULATIONS: Report should be made available as per the format required by the Actuarial valuer.
- 1.8.6 Wherever arrears are payable, the Arrears calculation sheet of each employee/ex-



employee.

2 Leave Module

2.1 LEAVE MANAGEMENT

- 2.1.1 All types of leave and rules should be configurable from front end.
- 2.1.2 Automatic credit of Leaves at the frequencies specified as per rule. Credit may be in separate intervals for different type of employee (officer, clerk, and sub-staff) / CONTRACT/ DIRECTOR. Future leave credit details to be made available to the end user via notification. Also, any expiring leaves to be notified too.
- 2.1.3 Special Leaves for Specific Employees.
- 2.1.4 Employees will apply using Employee Self Service. For some type of employees it will be applied by the supervisor on behalf of the employee. Leave can be edited/deleted before it is approved. Cancellation of leave after approval
- 2.1.5 Leave Applied through self-service would follow the approval process.
- 2.1.6 Some of the leaves are to be marked by the supervisor, for e.g. UNAUTHORISED absence.
- 2.1.7 Leaves input by the supervisor need not follow the approval process.
- 2.1.8 Approvals.
- 2.1.9 Tracking.
- 2.1.10 Maintaining of LEAVE Balances. Balances should be carried forward/ reinitialised as per the rules. Balance should be available as of today. System should provide balances as on the date the employee requests.
- 2.1.11 Providing Front end screens to mark Employees on strike. Provide list of employees of the branch and provide select all feature. On clicking update all employees should be marked as on strike./ special leave
- 2.1.12 LEAVE/STRIKE uploading in bulk.
- 2.1.13 Online consent for Contribution of PL to PMRF.
- 2.1.14 Screen for COMPENSATORY OFF/PL beyond 270 credit and extension.
- 2.1.15 Front End Screens to be available for credit of leave / Regularisation / change of type of leave/ Cancellations/ delete of approved leave.
- 2.1.16 System should automatically update balances / make salary payments in case of any changes in type of leave/cancellation/ regularisation.
- 2.1.17 Leave Balances if incorrectly updated during the time of migration the same should be updateable from front end.
- 2.1.18 Leave on Loss of Pay to be effected with retrospective effect (i.e. salary should be recovered if leave entered at a later date and if leave is condoned same should be paid back.). Balances also to be automatically updated.
- 2.1.19 Provision for submitting leave application on behalf of another employee should be



provided – at Local Levels as well as at Corporate Level

2.1.20 Provision for providing leave details to other systems

2.2 LEAVE ENCASHMENT

- 2.2.1 Some leaves are Paid leaves when payment is released for these type of leave, leave balance should be reduced by the system.
- 2.2.2 System should allow employees to apply for LEAVE ENCASHMENT online using self-service. Also provision for supervisor to directly input the same the system.
- 2.2.3 The same should be routed for the approval process. If Supervisor is inputting into the system then approval process may be discarded.
- 2.2.4 Once the same is approved, leave balances should be automatically updated and payment should be routed to the CBS system.
- 2.2.5 Leave Encashment paid should be taken in payroll at the time of salary generation and accordingly tax should be computed.
- 2.2.6 At the time of employee's separation, leave encashment should be computed as per eligibility rules of Bank and paid through the F&F module while doing the full and final settlement.
- 2.2.7 Provision to Calculate Arrears of LEAVE ENCASHMENT from a particular period when there is a change in any of the components of leave encashment.
- 2.2.8 Amount paid should be added to the income and tax to be deducted as per income tax rules.
- 2.2.9 Arrears have to be calculated and paid for employee as well as ex-employee.
- 2.2.10 Payment of Leave Encashment is to be routed to CBS for credit to employees account.
- 2.2.11 Vouchers for the same to be posted in CBS with proper identification tags.
- 2.2.12 Wherever arrears are payable, the Arrears calculation sheet of each employee/ex-employee.
- 2.2.13 Reports as required for this module.

3 TIME OFFICE FUNCTIONS

3.1 Time office functions (attendance management) is an independent functionality and wherever such systems are existing like at BCC or where proposed will be required to be interfaced so that attendance data is utilized in payroll, leave module. Hence, the proposed package should have the integration functionality. The vendor is expected to provide a solution for time and attendance management in case the bank decides to implement it in the later phase of the implementation.

4 Benefits Module

4.1 BENEFIT CLAIM REIMBURSEMENTS

4.1.1 System should allow configuration of all types of monthly, quarterly, annual and



- other periodicity claim reimbursements.
- 4.1.2 System should allow employees to apply for various reimbursements as per the eligibility rules.(-- Auto-Reminders via Notifications to employee for pending claims)
 - 4.1.3 Different reimbursements will have different values to be input by the employee. (eg. petrol reimbursements – input values required is no of litres and rate per litre. System should use data available in other modules ie. Payroll/ HRMS/ CBS for payment of certain claims.
 - 4.1.4 System should be able to configure eligibility rules which may be based on grade, position, organization etc.
 - 4.1.5 Some claims are based on BLOCKS (Entertainment expenses, Uniforms, Domiciliary Medical etc). System should allow to define scheme as blocks. Auto-Reminders via Notifications to employee for expiring LTC block.
 - 4.1.6 System should automatically initialise the blocks for all employees at the frequency decided by the banks rules.
 - 4.1.7 For some employee claims, manager approval is required, for others it can be taken as auto approval. System should allow for configuration of this feature.
 - 4.1.8 Once approved, vouchers should be generated for credit to employees benefit account and debit to respective PL heads.
 - 4.1.9 System should have tags to confirm that payment is not done twice for the same claim.
 - 4.1.10 Reconciliation reports for claim applied and claim credited.
 - 4.1.11 Integration with CBS to take care that when the number of claims are very high no time lag is introduced in payment or bring down the CBS system.
 - 4.1.12 Web Module and Mobile app to be made available to employees and managers for claiming and approving.
 - 4.1.13 Where employees are not able to do an online application, system should allow for application to be entered into the system from front end by identified branch/region/corporate user.
 - 4.1.14 For some claims, balance can be carry forward to the next year. Some claim will expire if not availed, system should help configure claims to incorporate this feature.
 - 4.1.15 Provision for part payment of the entitlements. As and when employee claims, the balance gets reduced.
 - 4.1.16 Provision for payment of difference of enhanced amounts when the entitlement of the employee changes (Arrears Payment). Provision of payment of Difference on account of promotion
 - 4.1.17 Reports as required in this module.
 - 4.1.18 Wherever arrears are payable, the Arrears calculation sheet of each employee/ex-employee.



4.1.19 Accounting of these payments / expenses / reimbursements made to an individual needs to be captured in the system to have the summary of CTC calculation as well as expenses under each Expenditure Head.

5 Staff Module

5.1 VARIOUS STAFF WELFARE SCHEMES.

5.1.1 Bank has various welfare schemes like holiday homes, scholarships, hospitalization, ex-gratia medical schemes, educational schemes, and reimbursement of medical expenses for mentally retarded children etc.

5.1.2 Accounting of these payments / expenses / reimbursements made to an individual needs to be captured in the system to have the summary of CTC calculation as well as expenses under each Expenditure Head.

5.1.3 Employees can apply online for the applicable schemes, Managers can approve and then payments need to be made.

5.1.4 For some schemes automatic approval is to be configured as per rules

5.1.5 Request for approval of special schemes as may be required (health check-up, professional courses)

5.1.6 Supporting document upload (Bills, Certificates)

5.2 TRAVEL EXPENSES (TA/DA CLAIMS), LTC/LFC claims.

5.2.1 Employees can apply online for the applicable schemes, Managers can approve and then payments need to be made

5.2.2 System should allow Approval as per rules.

5.2.3 Masters required for claim configurations. Claims should be configurable as per rules of the bank.

5.2.4 System should have provision to upload proof documents.

5.2.5 The Travel Expense module should be tightly integrated to Base HCM Modules.

5.3 HOLIDAY HOMES

5.3.1 There are a number of holiday homes in the bank, each one of which is attached to a controlling branch.

5.3.2 Functionality required under the proposed system is booking, cancellations, status, waitlisting and other administrative accounting systems as managed presently

5.3.3 Holiday Home Agreements also to be incorporated. Timely renewal of rental agreements etc. Notification on rental agreement renewal.

5.3.4 Availability and approval of rooms to be maintained by system (on a real time basis showing the no of requests pending for processing)

5.3.5 Reservation, cancellation etc will have workflow and should have provision for



interfacing with other internal / external hosted application.

- 5.3.6 System to be made available to ex-employees also. Ex-employees should be able to apply for holiday homes just like any employee.
- 5.3.7 Features available in web platform should be available as mobile application.
- 5.3.8 Vouchers to be generated for posting in CBS.
- 5.3.9 Automatic debit of employees account and message to employee about booking
- 5.3.10 GL balances to be maintained for the credit and debit from employees for reconciliation with the CBS account.
- 5.3.11 Reports and Letters as required.
- 5.3.12 Allotment of rooms on real time basis

5.4 EMPLOYEE SELF SERVICE

- 5.4.1 Ability for all employees (clerk, officer, sub staff, contract employees, director) to perform the following.
- 5.4.2 Update bank account information for payroll processing/ claim credit (two separate account nos)
- 5.4.3 Apply for leave
- 5.4.4 Submit travel requests
- 5.4.5 Book, cancel and check status of holiday home applications
- 5.4.6 Obtain pay slips (every day changes to be visible once salary generation for the current month is scheduled)
- 5.4.7 Obtain Income Tax Computation Statement
- 5.4.8 Obtain month-wise salary breakdown
- 5.4.9 Check leave balances
- 5.4.10 Check loan balances.
- 5.4.11 List of claims pending for applying.
- 5.4.12 FORM 16 PART A & PART B (As Applicable)
- 5.4.13 PF STATEMENT.
- 5.4.14 System should show provisional calculation of terminal benefits(gratuity, ARB, leave encashment etc.) as on date
- 5.4.15 VPF deductions (only eligible employees to apply)/LIC details under SSS
- 5.4.16 Income Tax Declaration (Provisional/Actual)
- 5.4.17 Online Filling in of Terminal Benefit Application forms
- 5.4.18 Apply Claims including TE / LFC etc as per their eligibility
- 5.4.19 Ability for Managers to perform the following:



- a. Approve employee changes
- b. Approve holiday home bookings
- c. Approve leave applications
- d. Approve different allowance request.
- e. Approve travel requests etc.,
- f. Approve Final investment declarations in FORM C -Income tax declarations.
- g. Approve Reimbursement requests(i.e. which is following approval workflow)

5.4.20 Ability for all ex-employees to perform the following

- a. Apply Holiday home
- b. View Income tax computation sheets
- c. View Arrear Computation sheet.
- d. View Pension Statements.
- e. Form 16 A / B for Pensioners

5.4.21 For those employees who are not able to apply online, System should allow their applications to be entered into the system by the Branch/Regional office authorised user.

5.5 Employee Loan Module

5.5.1 Applications

5.5.2 Approvals based on rules

5.5.3 Administration

5.5.4 Integration with CBS

5.5.5 On sanction of loan by competent authority, auto configure account opening in CBS.

5.5.6 Loans are basic branch banking transactions routed through the base branch where an employee is posted. It can be taken care of by loan module on the basis of application, approval and administration. However, its linkage with payroll is required for deductions and CTC calculation and tracking employees' liabilities to the Bank at any point of time.

5.6 Terminal Benefits

5.6.1 PF, Pension, Gratuity, Additional Retirement benefit are the terminal benefits available to employees in the bank.

5.6.2 National Pension Scheme (NPS)—System should make available format for upload to CDSL. Also provide for PRAN upload for employee and RECONCILIATION

5.6.3 The Bank has set up its own Trusts for PF, Pension & Gratuity as per the rules under the acts. Funds of the trusts are required to be invested / deployed for generating revenues.



- 5.6.4 The system should be capable to do accounting of the funds deployed, interest application, generate reports, and calculate pensionary and other terminal benefits payments due to employees.
- 5.6.5 As regards, contributions of employees towards terminal benefits data to be captured from payroll module.
- 5.6.6 Functionality to facilitate business decisions for funds deployment.
 - a. Provident Fund
 - b. Pension
 - c. Gratuity
 - d. Additional Retirement Benefit
 - e. Bonus
- 5.6.7 Deployment of Funds of the Trust
- 5.6.8 Arrears payment for the above along with income tax calculations. Arrears calculation sheets also to be provided
- 5.6.9 Data should automatically flow from trust module to the salary module for payment of F&F benefits. Income Tax should be computed accordingly. The trust module should provide the data in a fixed format and the same will be consumed by payroll.
- 5.6.10 System should be able to generate calculation sheets of the provisional amounts of all terminal benefits at any time without needing the employee to actually separate from the bank. (i.e an employee should be able to see his gratuity, pf, pension etc. as on date as per his eligibility).
- 5.6.11 Reports required for this module.
- 5.6.12 Preparation & Maintenance of the Agenda / minutes of the Trust meeting.
- 5.6.13 Calculation of Gratuity, ARB, Pension to be done by system.
- 5.6.14 Maintenance of PF accounts & NPS accounts employee wise.
- 5.6.15 Integrated system of Trusts, HRMS & Payroll. Integration with CBS.

6 MOBILE VERSION

6.1 MOBILE APPLICATION:

- 6.1.1 All features which are available in SELF SERVICE should be available in the MOBILE APP for payroll.
- 6.1.2 Approvals Workflow also be available in the MOBILE APP.

6.2 USER ROLES/ACCESSES

- 6.2.1 Access has to be given to screens based on the type of Organization the employee is posted in (Branch/Region/Corporate Office).
- 6.2.2 Identified person at the Branch Level is only to be having access to edit the payroll heads of pay as allowed by the corporate office and only of the employees posted



in that region

- 6.2.3 Identified persons at the region/zone to have access to all branches of the region.
- 6.2.4 Hierarchy of Branches and Regions, Zones to be maintained within the system.
- 6.2.5 Assignment of role to be allowed at the regional office level, as soon as role is assigned, the stated screens will be available to the employee of the branch.
- 6.2.6 Automatic removal of roles once the employee has been transferred from the organization for which the role was allotted or employee has separated from the organization

7 OPERATIONAL ACTIVITIES

7.1 MONTH END/BEGIN ACTIVITIES, YEAR END/BEGIN ACTIVITIES.

- 7.1.1 Leaves not accounted for in the previous month should be carry forwarded to this month for deduction in applicable heads of pay.
- 7.1.2 Menus which are to be deactivated/activated for closing of payroll month should be automatic (leave approval screens, accommodation type entry screens, etc.)
- 7.1.3 Menus to be activated or deactivated for closing at year end should be automatic.

8 HRMS

8.1 HR ADMINISTRATION- HUMAN RESOURCES INVENTORY

- 8.1.1 Maintenance of all personal information and assignment information of employees, which can be linked, tracked with various other sub-modules for decision making.
- 8.1.2 Different country staff , currency
- 8.1.3 Different employee types / cadres / grades
- 8.1.4 Photo upload
- 8.1.5 Details of dependents
- 8.1.6 Upload of documents --Document Upload facility in case of change in Personal Profile of employee
- 8.1.7 Capturing of medical insurance details.
- 8.1.8 Capturing of additional information at employee level, assignment level.

8.2 PROMOTIONS:

- 8.2.1 The system should be able to identify people who qualify for next successive positions on user-defined parameters.
- 8.2.2 The system should have provision for creating vacancies for such positions.
- 8.2.3 Provision for Online application and workflow based eligibility check
- 8.2.4 The entire selection process should be tracked and captured in the system for later retrieval.
- 8.2.5 Seniority creation as per rules of the Bank



8.3 RECRUITMENTS:

- 8.3.1 The system should be able to provide for below facilities pertaining to recruitment process:
- a. Applicant tracking
 - b. Skills matching between applicants and positions
 - c. Generation of letters
 - d. Receipt of applications
 - e. Offer of employment
 - f. Unsuccessful application
 - g. interview
 - h. Employee Number Generation
 - i. Assignment of suitable jobs and positions
 - j. Updation of Rosters
 - k. Collection of fees
 - l. Uploading of scanned documents

8.4 TRANSFERS / MOBILITY:

- 8.4.1 Deployment decisions based on skills requirement (skill based routing) and earlier experience in the organization must be facilitated by the system.
- 8.4.2 System should be able to maintain an online career history of the employee.
- 8.4.3 Provision of Request transfers with workflow
- 8.4.4 Career progression requests
- 8.4.5 Online application for posts announced by the Bank and workflow thereof
- 8.4.6 Would-be / what if analysis

8.5 DISCIPLINE MANAGEMENT:

- 8.5.1 Provision for creating disciplinary cases of employees pertaining to vigilance and non-vigilance aspects.
- 8.5.2 Case summary, details of inquiring and presenting officers, progress chart of the case, punishment imposed (also historical details of such punishments), appeals, final disposal etc. should be captured.
- 8.5.3 Implementation of Punishment

8.6 HUMAN RESOURCES MIS:

- 8.6.1 Provision for generation of all sorts of reports in both excel and pdf format. Examples of such reports include:
- Trend analysis recruitment, separations, exit interviews etc



- Separations – including online application, exit interviews, workflow based
- Hiring
- Detailed metrics and analysis by job, organization, gender, etc.
- Retention analysis
- Compensation analysis
- Recruitment and training analysis

8.7 EMPLOYEE PERFORMANCE MANAGEMENT:

- 8.7.1 Tracking of employee performance appraisal completion and next appraisal date.
- 8.7.2 Employee Performance Appraisal system (including mid-term review) should have workflow basis and should be linked to business data of each branch / office where he has worked during the performance review year (tracking can be through Branch ALPHA / 6 digit unique nos).
- 8.7.3 The module should also have linkages with training module (for the training need analysis), potential appraisal and identification of competencies
- 8.7.4 Different Appraisals formats with multiple levels of appraisal
- 8.7.5 All performance histories must be maintained in the system for easy decision making.
- 8.7.6 Integration with Baroda Academy and Baroda Gems

8.8 CAREER PLANNING & CAREER DEVELOPMENT

- 8.8.1 The system should have the feature of making known various career options / paths available to employees in the organization.
- 8.8.2 Employee should be able to gather information about his own competencies and his suitability to various career options available in the organization.
- 8.8.3 The module should have linkages with performance management, training & development, e-learning etc.

8.9 TRAINING SYSTEM:

- 8.9.1 Integration with other packages dealing with Trainings
- 8.9.2 Ability to assign trainings automatically
- 8.9.3 Ability to track status of trainings assigned
- 8.9.4 Ability to send auto reminders on non-completion of mandatory training
- 8.9.5 Ability to support different modality of trainings such as Virtual, Online, Classroom etc.
- 8.9.6 Ability to associate Quizzes/Exams along with any trainings
- 8.9.7 Ability to automatically update employee profile on completion of training
- 8.9.8 Ability to support statutory trainings
- 8.9.9 Ability to integrate with MOOCS



8.9.10 Ability to report on the total number of hours training completed.

8.9.11 Ability to report on number of employees not attended any training last year

8.9.12 Ability to take online training on mobile devices.

8.10 OTHERS

8.10.1 **Assets & Liability Management system:** Each employee in the officer category is required to submit details of his assets & liabilities for each year before 30th June. System should have the provision for online submission of asset and liability by the employee.

8.10.2 Online KYC maintenance of employees

8.10.3 **Assets Tracking:** There are schemes in the bank under which various assets like furniture, flat, cars etc, which are provided to employees. Details of all such assets attached to an individual employee is required to be captured for the purpose of calculation of CTC, perquisite value for Income Tax and for administration and management of bank's assets as required by the P&E department.

8.10.4 **Rosters:** Tracking and monitoring of each employee's caste and his representation against the caste reservation points as per the government's reservation policy (reservation percentage and the roster varies from state to state).

8.11 Industrial Relations:

8.11.1 **Conciliation & adjudication matters:** Details of industrial disputes involving conciliation, adjudication cases are required to be collected. It is basically input of details / status of cases in text format for efficiency in industrial law case management.

8.11.2 **Union/ Membership Details:** Membership of unions / associations is verified from the check-off facility (that is contribution made from salary of each employee made on the basis of declaration given by him). Such details are required to be captured.

8.12 GRIEVANCE Module:

8.12.1 Capturing grievances of employees and resolution thereof.

8.13 Organisation related data:

8.13.1 Creation and maintenance of all the data pertaining to different units of the organization.

8.14 Fitment on promotion and reversion :

8.14.1 Provision for fitting the employee to new salary on promotion and reversion.

8.15 Manpower planning including request for staff by organisation

8.16 Costing of employees

8.17 Workflow based movement of applications for various activities

8.18 Confirmation process of employee

8.19 Separation processing:



8.19.1 Provision for online processing of separation of the employee from the organization.

9 PMS

For enabling end to end performance evaluation process in the bank, following modules need to be implemented as part of PMS implementation:

9.1 ORGANIZATION MODULE

Used for looking at reporting structure by each employee, raising requests for modification in reporting structure and allocating Reporting authorities

Introduction

Every employee should know his/her reporting authority, scale, designation, role and other aspects including details of reportees. This module will help employee in identifying the employee related information captured in performance management system. Organisation module also deals with change triggers required for making changes in employee related parameters.

Organization module also houses “Rep A allocator” which ensures that system auto-allocates Rep A to every employee.

Org modification process if initiated by employee

If the employee finds that there’s any mistake in the following information, he should be able to click on the relevant parameters and request for a modification:

- a. Name
- b. Designation
- c. Scale
- d. Role (primary, secondary, tertiary)
- e. Organisation name
- f. Rep A
- g. Cohort id
- h. Email id
- i. Mobile no.

Once the employee clicks on the parameter, a pop-up should open up which shows employee’s current information w.r.t Name, Designation, Scale, Organization name, Rep A name, Rep A employee code. All these fields will be accompanied by a free text field which will get activated and auto-populated with the same data as existing data on employee clicking the request modification. Please note that Rep A name will remain frozen and will be auto-populated basis the new Rep A employee code provided by the Employee. Also, employee will not be able to make changes w.r.t cohort id & Role (which will be separately dealt through Role clarity module – however, a link should be provided for directing the employee to Role clarity change request module).

On clicking submit, an automated mail will be generated for HR who will be notified about the change request. HR will initiate an “off-line” process for updating the “HRMS Details” basis the request from employee. However, incase of Rep A change request,

HR has to carry out an online process for manually overriding the system allocated Rep A with the new Rep A.

On HR updating the “HRMS details” in the system or HR manually allocating the Rep A, the employee details should reflect the changes and a notification mail should be sent to the employee stating that his details are updated as per the notification received and discussion with HR. Employee should be able to log in post that mail (or either through a link in the notification mail) to verify the changes. Further, notification mails should also be sent to affected Rep A’s about the changed reporting structure

Org modification process if initiated by Rep A

Any change in Rep A’s personal information can be done through the process mentioned in “Org modification process if initiated by employee”.

Rep A should be able to see his reportees through the “My Reportees” section. Following details should be displayed when Rep A enters the “My Reportees” section:

1. Name of the reportee
2. Designation of the reportee
3. Scale of the reportee
4. Role of the reportee
5. Location of the reportee

Rep A can request a change in any of the following cases:

1. Details of reportee shown are wrong i.e. wrong location, wrong designation or any other error that the Rep A notices
2. Org module shows employees reporting to Rep A but there are no such employees reporting to Rep A in reality
3. There are employees reporting to Rep A but Org module shows no such employee reporting to Rep A

Incuse of “changing the reportee details” or “Org module showing employees reporting to Rep A but there are no such employees reporting to Rep A in reality”:

Rep A should be able to click on the concerned employee on which a pop up will open with employee’s current details i.e. name, designation, scale, location and employee id. All these fields will be accompanied by a free text field which will get activated and auto-populated with the same data as existing data on employee clicking the request modification. Please note that Employee name will remain frozen and will be auto-populated basis the new employee code provided by the Rep A. Please note that an option should be provided to Rep A for marking a given employee as not reporting to him. This option of marking employees not reporting to Rep A should be made available on bulk basis also i.e. on the Org module’s initial page itself Rep A can select employees who are not reporting to him and report them as employees not reporting to him.

On clicking submit, an automated mail will be generated for HR and the concerned employee who will be notified about the change request. HR will initiate an “off-line”

process for updating the “employee generic” basis the request from Rep A. However, incase of change request with respect to Rep A, HR has to carry out an online process for manually overriding the system allocated Rep A with the new Rep A.

On upload of the new “employee generic” in the system or HR manually allocating the Rep A, the employee details should reflect the changes and a notification mail should be sent to the employee and affected Rep As stating that the details are updated as per the notification received and discussion with HR. Rep A and Employee should be able to log in post that mail (or either through a link in the notification mail) to verify the changes.

In case employees reporting to Rep A but Org module shows no such employee reporting to Rep A

In such case, Rep A should be provided a trigger button through which Rep A can notify HR about the changes required. On clicking the trigger button, Rep A will be provided with a pop up which should provide the Rep A to input multiple employee codes. On filling the employee codes, employee names should be auto populated in the pop-up.

On clicking submit, notification mails will be generated for HR about the reporting structure change request from the Rep A. HR has to carry out an online process for manually overriding the system allocated Rep A with the new Rep A.

On HR manually allocating the Rep A, the employee details should reflect the changes and a notification mail should be sent to the employee and the affected Rep As stating that the details are updated as per the notification received and discussion with HR. Rep A and Employee should be able to log in post that mail (or either through a link in the notification mail) to verify the changes.

Employee screens:

1. After the initial log in, employee should be able to see following details on the home screen:
 - a. Name
 - b. Designation
 - c. Role (primary. secondary & tertiary)
 - d. Organisation name
 - e. Scale
 - f. Cohort id
 - g. Email and mobile no.
 - h. Rep A
2. If the employee finds that there’s any mistake/blank in the information, he should be able to click on the relevant parameters and request for a modification as described in the “Org modification process if initiated by employee”.
3. Employee should be able to save the modification request at any point without submitting it.
4. On submitting the modification request, a pop up will be provided to the employee stating that change request has been received and a unique service request no. should be provided to the employee. Employee should be able to check the status



of existing service requests through help center. (Details of service requests and related screens will be discussed in detail in Help center section).

5. If the employee requests for modification while a previous request is still pending, a pop-up should be provided to inform the employee that a previous request is still in process and if any changes have to be made, please contact the HR directly.
6. Employee should also be able to see history of changes in his/her details for past three years. Following information must be displayed when employee wishes to see the history.
 - i. Name
 - j. Scale
 - k. Designation
 - l. Role
 - m. Organization
 - n. Email and mobile no.
 - o. Rep A
 - p. Cohort id

Rep A screens:

2. Any change in Rep A's personal information can be done through the process mentioned in "Org modification process if initiated by Employee" and screens should be similar to "Employee screens"
3. Rep A should be able to see his reportees through the "My Reportees" section. Following details should be displayed when Rep A enters the "My Reportees" section:
 - a. Name of the reportee
 - b. Designation of the reportee
 - c. Scale of the reportee
 - d. Location of the reportee
 - e. Email id and mobile no. of the reporteeOn clicking reportee name, Rep A will be able to see the similar details of the employees reporting to the reportee. This view will be in the form of a "slide-down"
4. Change request from the Rep A in any of the following ways:
 - a. Details of the reportee shown are wrong i.e. wrong location, wrong designation or any other error that the Rep A
 - b. Org module shows employs reporting to Rep A but there are no such employees reporting to Rep A in reality
 - c. There are employees reporting to Rep A but Org module shows no such employee reporting to Rep A
5. If the Rep A finds that any information needs to be modified, he should be able to click on the relevant parameters and request for a modification as described in the "Org modification process if initiated by Rep A"
6. Rep A should be able to save his modification request at any time and revisit later
7. On submission of any modification request, a pop up will be provided to the Rep A stating that change request has been received and a unique service request no. should be provided. Rep A should be able to check the status of existing service



requests through help center. (details of service requests and related screens will be discussed in detail in Help center section)

8. If the Rep A requests for modification while a previous request is still pending for a given employee, a pop-up should be provided to inform that a previous request is still in process and if any changes have to be made, please contact the HR directly.

HR screens

1. This is an administrative page for “Org Module” change process. Adequate checks and controls should be in place so that work flows can be appropriately delegated within the HR team. Stakeholders within the HR team who will be working on the end term appraisal process are:
 - a. Central HR team
 - b. Zonal HR team
 - c. Regional HR teams
2. After the initial log in, HR should be provided with a link which will direct HR to “Org module changes” page where HR will be able to see the following information:
 - a. List of zones with no. of service requests pending
 - b. Categorisation of each service request (by person who raised it and by nature of request)
3. Central HR should be able to deep dive into zones, regions, branches & employees in any of the parameters if need be. However, Zone/Regional HR should be able to deep-dive only for their respective zones/regions and will not be able to see others’ service requests
4. On clicking any of the service request, HR should be directed to different screen where HR will be able to see the following information:
 - a. Date of request
 - b. Requestor name, employee code, scale, designation and organisation name
 - c. Nature of request (name change, scale change, designation change, org. change, Rep A change, others)
5. HR team should be able to mark any of the service requests as completed with adequate maker checker concept in place i.e. resolution of service requests is an off-line process, once the HR completes the off-line process of change updation in HRMS, HR should be able to select relevant service request and mark it as complete. However, on marking and submitting it as complete, the same will flow to a “checker” who will confirm that the HRMS is indeed updated. On such submission, a notification mail will be sent to the respective stakeholders that their service request has been closed and system is now updated.
6. HR team should be able to approve single/bulk service requests
7. In the backend, when the HRMS is updated, the screens should automatically update the new information in real time.
8. In case of Rep A change requests, on clicking the change request, HR should be directed to separate sub-module within “Org module” to manually over-ride the existing Rep A allocation. HR should be able to see this screen in either of the following ways:
 - a. Input Rep A employee id and get a list of all employees reporting to Rep A
 - b. Input employee id and get Rep A details



On clicking any of the options above, HR will be directed to screens where he will be able to change the Rep A basis the employee code. This revision is finalised only after due maker/checker validation

9. MIS analytics should be provided. HR should be able to download the reports in excel formats. Some of the key data downloads will involve information pertaining to
 - a. Employee code who raised the request
 - b. Employee name
 - c. Nature of service request
 - d. No. of days since when the request is raised
 - e. Branch/unit from where the service request is raised
 - f. Region & zone from where the service request is raised

Above information should be made available for download in the initial screen of “Org module changes”

9.2 ROLE CLARITY MODULE (ROLE ASSIGNMENT):

Every Reporting authority (branch head in case of branches) will allocate roles to his/her reportees through this module. No. of roles that can be allocated, role combinations, Key Result Areas (KRAs), weights of KRAs etc. are defined in this module.

9.3 ROLE CLARITY MODULE (ROLE MODIFICATION):

Every Reporting authority can modify allocated roles to his/her reportees, employees can request for role modification through this module

ROLE CLARITY MODULE (ROLE ASSIGNMENT AND ROLE MODIFICATION)

Introduction

Role clarity module is meant for providing clarity to officers in terms of their roles, KRAs and targets. This note details on the process to be followed for the same

Role clarity overview

1. Every reporting authority (Rep A) should allocate roles to all his/employees at the beginning of the year or when a new employee joins or an existing employee leaves the branch/office – whichever is earlier
2. Rep A can allocate at max three roles to his/her reportees
3. On transfer or employee leaving the branch/office or new employee joining, Rep A has to re-allocate the roles
4. Rep A has the option to re-allocate the roles at any point of time during the year for any number of times. However, for revisions after 2nd re-allocation, Reviewing Authority (Rev A) approval is required for making the re-allocation. System should have checks in place for getting Rev A approval if re-allocation is happening after 2nd re-allocation.
5. Certain employees in certain departments may be performing multiple roles. In such cases, system should allow Rep A to select the KRAs from list of KRAs instead of selecting a role from list of roles.



6. On Rep A allocating the roles, employees will get to know their roles, KRAs and corresponding weights, and targets on which they are being assessed
7. On such allocation, employee shall acknowledge the role allocation and state that he/she has discussed the role, responsibilities and expectations from him/her with the Rep A.
8. Employee can request for a role change at any point of time
9. All role changes should be saved in the backend with following details:
 - a. Name, id, scale and designation of the employee (incl. Sol id, alpha, org name, region and zone)
 - b. Primary, secondary and tertiary roles
 - c. Start date of the role
 - d. End date of the role
 - e. Rep A who allocated the role with details on name, id, scale and designation

HR should be able to download the above reports

Rep A screens

1. Rep A can log into the PMS module and then select “Role Allocation” module for accessing the same
2. On logging into the “Role allocation” module, Rep A should be shown an overall summary view page with following details of his/reportees (basis the org module reporting structure):
 - a. Employees with roles assigned – no. of employees
 - b. Employee with roles to be assigned (incl. employee triggered requests – should be differentiated from normal employees) – no. of employees
 - c. Employee with roles assigned but requested for change – no. of employees
 - d. Employees with roles assigned pending acceptance – no. of employees
 - e. Employees with role assigned but in appeal – no. of employees

Below the above summary, a list of reportee employees should be provided with following employee details:

- a. Employee name, id, scale, designation and location
- b. Employee role status (assigned, to be assigned, closed)
- c. Employee role, if applicable

Option to be provided to sort the employees on any of the above criteria mentioned in “a” to “c”. If Rep A clicks on any of the options in (i) to (v), the employee list should be automatically sorted to display the relevant employees.

3. On clicking the option “Employees with roles to be assigned” or “Employee with roles assigned but requested for change”, the employee list should update with list of all employees for which this option holds true
4. On clicking any of these employees, Rep AA should be re-directed to “Role assignment” page where he/she should be able to assign role for that particular employee.
5. “Role assignment” page should have following three dropdowns with auto populated “Role names”
 - o Primary role

- Secondary role
- Tertiary role

Further, all the three dropdowns should be a selection field but not write field. PMS should be capable of not allowing certain role combinations.

6. Apart from the drop downs, the “Role assignment” page should have details of employees – name, id, scale, designation, location. These details should flow into subsequent pages too until Role is finally allocated by the RA
7. On selecting the role fields above, Rep A to click “submit” page. On clicking “submit”, Rep A will be directed to “KRA assignment” page which is auto populated on the basis of predetermined criteria for a given primary, secondary and tertiary roles. Every KRA will be assigned a pre-determined weightage based on the pre-determined criteria. The KRAs and weights should be captured from “Employee role master table”. The algorithm for KRA assignment and weights is provided in “Role Allocation – Annexure – 10” (shown at end of module). However, in case of certain roles, Rep A has the option to choose the KRAs instead of any auto allocation of KRAs. In such cases, on KRA assignment page, Rep A will be displayed a list of KRAs for a given combination of roles. Every KRA should have a checkbox which can be selected by the Rep A and submitted by the Rep A. However, system shouldn’t allow selection of more than 3 KRAs for a given role and every role must have at-least one KRA selected. After selecting the KRAs, Rep A can click submit upon which he/she will be directed to a new page where the KRAs and weights are displayed based on selection. Please note that weights are allocated basis the role combination with primary role KRAs having higher weightage, secondary role KRAs having next higher weightage and tertiary role KRAs having the lowest weightage on overall basis. Please note that in future, Rep A has the option to choose weights with some set criteria. The new PMS system should have the capability of allowing the Rep A to set weights. However, this feature should be de-activated for the time being with System Admin having the power to activate it in future.
8. RA should be directed to next page where he should be able to see targets for each of the KRA that he/she selected. Targets to be populated from “Target table” for branch roles and employees.
 - i. On being satisfied with the targets provided, Rep A to click submit which will finalize the role allocation & targets for the employee. However, in case of re-allocation of roles more than two times in a year, a notification mail should be generated for the Rev A for approval of re-allocation. Only on Rev A approval, role allocation is considered final. Simultaneously, Rep A should get a notification stating the allocation is pending Rev A approval.
 - ii. If not satisfied, Rep A should be given an option to go back until the role selection page for changing the role. On being satisfied with final roles, KRAs, weights and targets, Rep A can click submit button which will generate an automated notification mail to following people
 - a. RA – FYI mail saying that Role has been assigned to a given employee (employee name, id, designation, scale and location) with KRAs and targets against KRAs

- b. **Reportee employee** – mail that a given role is assigned to him with KRAs, weights and targets. This mail should have an automated link that takes it to the page where it says whether the employee accepts or appeals the given role, KRAs, weights and targets. Reportee has the option to either accept the mail role allocation or go on appeal for role allocation. Please note that no notification mail will be generated for employee if the re-allocation is pending Rev A approval. Only on approval by Rev A, a notification mail will be generated for the employee.
- i. On acceptance, FYI mail will be sent to both employee and Rep A that given role is now assigned and accepted by the employee along with the KRAs, weights, and targets. In the background, the “target table” should be updated with employee id. If no such acceptance or appeal is made within 2 working days, employee is deemed to have accepted the new role. Employee should be able to download the role allocated, KRAs, weights and targets in the form of a pdf.
 - ii. If employee chooses to appeal to Rep A, he can click on “Appeal”, upon which he will be directed to comments page where Employee will give his comments for appeal. Once final comments are submitted, notification mails will be sent to employee and RA. These mails should contain
 - Details of employee (employee name, id, scale, designation, location),
 - Details of Rep A (employee name, id, scale, role, designation and location)
 - RA allocated roles, KRAs, weights and Targets allocated,
 - Employee comments on why he is appealing
 - iii. Until the role is accepted or appealed, the given employee should figure in “Role assigned pending acceptance” (to show whether pending acceptance or appealed) and should be removed from the list of “Employees with roles to be assigned”.
 - If the role is accepted, it should be moved to “Employees with roles assigned”
 - If the role is appealed, it should be moved to “Employee with roles assigned but in appeal”
- c. Rep A’s mail on appeal will have a button which directs him to “Reportee role appeal” page where he should be provided an option to submit his views/comments on the appeal and submit, or accept the employee’s proposed role and weights.
- i. If Rep A accepts the employee proposed modification, Rep A should be re-directed to “Role assignment” page for the respective employee. Rep A has to restart the role modification process to update the employee role. On such modification, old allocation should be replaced with the new allocation with new KRAs and targets assigned
 - ii. However, if the Rep A doesn’t accept the employee’s appeal, he can provide his comments and press submit button which would direct the appeal to Reviewing Authority (Rev A) on which three notification mails

- are generated to reportee, Rep A and Rev A that a given role allocation has been appealed. These mails should contain
- Details of employee (employee name, id, scale, designation, location),
 - Details of Rep A (employee name, id, scale, role, designation and location)
 - RA allocated roles, KRAs, weights and Targets allocated,
 - Employee allocated roles, KRAs, weights and targets allocated.
 - Employee comments on why he is appealing
 - Rep A's comments on the appeal
- d. Rev A mail should contain a dispute resolution button which will direct the Rev A to a page where Rev A will comment on what the role of the employee will be. System generated reminder mails/HR follow up mails should be put in place. Once Rev A submits his views, Rep A and the employee should be sent notification mails on how the appeal is resolved.
- e. On receipt of Rev A appeal resolution mail, Rep A has to go to "Employees with role assigned but appealed" page for role modification in line with the Rev A comments. Once the role is assigned, notification mails are sent to Rep A and employee that the new role is assigned to the employee with following details
- i. Details of employee (employee name, id, scale, designation, location),
 - ii. Details of Rep A (employee name, id, scale, role, designation and location)
 - iii. New roles, KRAs, weights and Targets allocated
 - iv. In the background, on such acceptance or modification, "Employee Generic" and "Target Table" should be updated with the new final decided roles and employee ids

This role will be final role and no further appeal is provided. Only acceptance button is provided in this case.

9. For an allocated role, if any given budgetary or measureable KRA has no targets populated against it, a notification mail should be generated in the backend for HR and Planning Team (Regional, zonal and central teams) stating that a given role allocation has budgetary or measurable KRAs which have no targets against it. HR should be able to trigger notifications for planning team to act on setting targets for the role.
10. An employee is deemed to be present in a given role from the date on which he accepts the role or when his appeal is settled as the case may be.
11. It's possible that all employees listed in the org module may not be necessarily present due to long leaves or other reasons. Rep A should have the option of selecting those employees and marking them as so (with expected return date – any return date more than 6 months has to be approved by HR). On such marking, role allocation is deemed to be completed for those employees. However, on the expiry of expected return date, employee's name should pop up in "employees with roles to be assigned"
12. If a new employee is transferred/reporting to the Rep A, then the role allocation for

that employee has to be completed by Rep A. Transferred/newly reporting employee will have no roles allocated to them unless Rep A allocates one. HR and Rep A should get a notification mail that a new employee is reporting to Rep A and that role allocation has to be completed for the transferred or newly reporting employee by Rep A. HR should receive a notification mail on completion of role allocation for the transferred or newly reporting employee

13. The new Rep A and HR will receive a notification for completion of role allocation for the transferred employee. However, previous roles of transferred employee should be stored in backend for tracking purpose.

Rep A transfer

1. If a Rep A gets transferred during a given year, then the employee list of the Rep A in “Role Allocation” module should be automatically updated from the effective date of transfer
2. Any change in reporting structure that Rep A believes to be made should follow the work flow as described in “Org Module”
3. Existing reportee roles will not change on Rep A transfer

Employee view of Role Allocation module for Role Clarity

1. Employee can log into the PMS module and then select “Role Clarity” module for accessing the same
2. On logging into the “Role clarity” module, employee should be shown an overall summary view page with following details:
 - i. Primary, secondary and tertiary roles allocated
 - ii. KRAs expected from the employee
 - iii. Weights of each of the KRAs
 - iv. Targets against each of the KRAs
3. A trigger button should be provided to employee in following cases
 - i. Request for role modification i.e allocating a new role or re-allocating roles for the given employee
 - ii. If the employee is not yet allocated a role, he/she should be able to activate a trigger for non-allocation of role
 - iii. On clicking such trigger button, a pop-up should open with auto-populated dropdown that the area of trigger is in Role Clarity module. Pop-up should contain a free text field enabling the employee to provide any comments. On clicking submit, a notification mail will go to Rep A on the request and gets populated in the overall summary screen of the Rep A
4. Employee should be provided an option to “accept” or “appeal” a newly allocated role/KRAs/weights/targets
 - i. In case employee accepts, a specific text should pop-up asking whether employee had conversation with Rep A on the role allocation. Role is deemed to be accepted only on confirming yes on the popup screen.
 - ii. In case employee chooses to appeal, he should be provided a field to input his reasons for the appeal
 - iii. Employee should be able to view the status of his appeal until it is resolved in following stages

- a. Pending with Rep A for comments
 - b. Pending with Rev A for resolution
5. If an employee is transferred after the role allocation, role of that employee should be reset from the effective transfer date. The new Rep A and HR will receive a notification for completion of role allocation for the transferred employee. However, previous roles of transferred employee should be stored in backend for tracking purposes.

Rev A view of Role Clarity module

1. In addition to Role allocation and Role Clarity module, Rev A should have access to “Appellate Authority” module. The process for “Role allocation” and “Role clarity” module will remain same as mentioned above. The process below is for “Appellate Authority” module.
2. Rev A can log into the PMS module and then select “Appellate Authority” module for accessing the same
3. On logging into the “Appellate Authority” module and selecting “Role clarity” option, Rep A should be shown an overall summary view page with following details:
 - i. No. of appeals to be resolved
 - ii. No. of appeals to be resolved and are beyond due date of 5 working daysBelow the above summary, a list of appeals (pending resolution) should be provided with following details:
 - a. Appellant name, scale, grade and location
 - b. RA name, scale, grade and location
 - c. No .of days since the appeal is launched
 - d. Reasons for appeal

Option to be provided to sort the employees on any of the above criteria mentioned in “a” to “c”. If Rev A clicks on any of the options in (i) to (ii), the employee list should be automatically sorted to display the relevant employees.

4. Rev A should be able to click on any of the employee name/id and be directed to a resolution page
5. On landing in such page, Rev A should be able to see details of appeal, Employee comments on appeal, Rep A’s comments on appeal
6. Rev A should be provided with a comment box where he will provide his views and resolve the appeal. On clicking “submit” next to that box, notification mails are sent to respective effected parties that their appeal has been resolved.
7. On the Role allocation module, apart from the list which Rep A sees, Rev A should also be able to see list of employees where Rev A approval is required as roles are being re-allocated more than 2 times. Following information should be displayed:
 - i. Name, id, scale and designation of the employee
 - ii. Name, id, scale and designation of the Rep A
 - iii. No. of times role has been re-allocated for the employee
 - iv. Comments made by Rep A for re-allocation
 - v. Approve/reject button for either approving or rejecting the role allocation. Such approval or rejection should be in the form of a pop-up where Rev A will be able to provide his/her comments for approval or rejection

On clicking the employee id/name, Rep A will be able to see (in the form of a pop-up) the roles allocated to the employee by the Rep A along with all the other information mentioned above. On approving or rejection, a notification mail shall be generated for Rep A that role re-allocation made by him/her has been approved or rejected. If approved, employee should also get a notification mail that his/her role has been modified

HR screens

1. After the initial log in, HR should be provided with a link that directs HR to Role clarity module
2. On the home screen of Role Clarity module, HR should be able to see following information w.r.t his/her region/zone or bank as a whole:
 - i. No. of employees assigned roles for his/her region/zone/bank as a whole
 - ii. No. of employees yet to be assigned roles
 - iii. No. of service requests from employees pending for resolution
 - iv. No. of role allocation appeals pending for resolution

Please note that a regional HR can see information only w.r.t his/her region, zonal HR w.r.t his/her zone, and central HR w.r.t. whole bank. There should checks and balances in place for division of responsibilities among HR personnel.

3. HR should be able to deep dive on any of the above number by clicking on them. On clicking the number, HR should be shown following information:
 - i. Employee name, id and scale
 - ii. Alpha, region and zone
 - iii. Rep A of the employee
 - iv. Date of service request/trigger/appeal (if applicable)
 - v. Employee name, id and scale with whom service request/appeal is pending (if applicable)

HR should be able to download the above lists in the form of excel. On clicking on the employee id in option (e), a pop-up should open where HR will be shown following details

- i. Nature of service request or appeal
 - ii. Date of service request or appeal
 - iii. Comments provided by employee, if any, for raising the request or appeal
 - iv. A trigger button for sending out notification mail and SMS to employee who has to take action on the service request or appeal
 - v. Submit button – clicking of which will generate a notification mail and SMS to the concerned employee to take action on a given appeal or request raised by a particular employee id and name.
4. HR should have access to report where allocated roles with budgetary or measurable KRAs have no targets against them. The report should contain following fields:
 - i. Employee id & name
 - ii. Rep A id & name
 - iii. Alpha
 - iv. Region

- v. Zone
- vi. Primary Role allocated to employee with date
- vii. Secondary Role allocated to employee with date
- viii. Tertiary Role allocated to employee with date
- ix. KRA on which target is not set

HR should be able to download the above report in the form of excel sheets

HR screens can also be made available to respective Zonal and regional managers for viewing the completion of Role clarity.

9.4 PERFORMANCE DASHBOARD:

This module forms the core of the new PMS. Every employee can view his/her performance on monthly basis with actuals against targets and comparison to historical performance for comparable period. Further, YTD scores and peer comparison is provided. Focus areas or areas of improvement is provided in the form of “digital nudges”. Further, all this process is system driven with no or minimal manual intervention.

Introduction

Performance dashboard shows employee’s current performance w.r.t KRA score achieved, how he/she has performed against targets, things he/she can do to improve score etc. This will be landing page for all employees after logging in.

Employee screens – retail branches

1. On clicking the date, a drop down should open that employee should be able to go back into previous months for any given year or months starting from April 2017 subject to a maximum of 36 months. On selecting the month, employee will be able to see his performance for that particular month on YTD basis (financial year basis). All the fields mentioned in point 1 above should update basis the month selected.
2. Clicking any KRA provides key details such as target, actuals, % achievement, target for next month, relative position in the cohort / group etc.
3. A link will be provided to go into deep dive analysis of each parameter, with information and drill down details such as historical performance, input drivers, key focus areas based on pre-defined logic etc.

RM/DRM screens

1. RM/DRM screens will be similar to “Employee screens – retail branches” with branch performance as additional parameter. In addition to information provided “Employee screens – retail branches”, employee will be shown branch mix as follows for each KRA. Full list of information provided in the RM/DRM screens at home page level similar to branch head page including employee details, monthly score per branch, KRA wise score, trend, relative performance, focus areas etc.
2. On clicking on any branch, RM/DRM should be able to view details of the branch – this view needs to be similar to branch head view providing key details such as KRA wise score, trend in score, target vs achievement, relative performance etc.
3. On clicking on any of the branches, RM/DRM should see the full flow of branch

head screens for that particular branch.

ZM/DZM screens

1. ZM/DZM screens will be similar to “Employee screens – retail branches” with Region performance as additional parameter. In addition to information provided “Employee screens – retail branches”, employee will be shown Region mix as follows for each KRA
2. On clicking on Region mix on any of the KRA, ZM/DZM should be able to view key details such as employee details, monthly score per branch, KRA wise score, trend, relative performance, focus areas etc.
3. On clicking any of the region, ZM/DZM should be able to see view region-wise and branch-wise drill down details including monthly score per branch, KRA wise score, trend, relative performance, focus areas etc.
4. On clicking on any of the branches, RM/DRM should see the full flow of branch head screens for that particular branch.

9.5 PERFORMANCE HISTORY:

This is an extension of performance dashboard where employee can see his/her historical performance in various roles and on various KRAs along with scores obtained. Employee will also be able to see Reporting authority comments, final rating received in previous years etc.

Introduction

Every employee would be interested in knowing how he/she has been graded in the past, what were achievements against the targets, what is his/her score etc. “Performance history” is the module which deals with any queries that an employee has w.r.t his/her historic past information on performance. This module can also be used by the HR for looking in to employees’ performance history.

Employee screens

1. After the initial log in employee should be provided a link that directs him to “performance history” module
2. On the landing page of “Performance History” module, employee will be shown his current role, current overall YTD score, KRA wise YTD score, current cohort, YTD discretionary score achieved, and Rep A (including name and employee id) comments on employee’s performance and areas of development.
3. An employee should be able to see any historical form- employee should be shown all the information at that point of time
4. Another link should be provided to employee for seeing a summary of all years. This screen should show following information:
 - a. YTD score obtained every time score is banked. If score is not banked for a given period, then reason for non-scoring (leave, absconding, sabbatical etc.)
 - b. Period for which score is banked.
 - c. Grade obtained, if applicable
 - d. Role, scale, designation and location during the period score is banked

- e. Cohort name for the score
- f. Rep A during the score banked period

Employee should be able to click on any of the period above on which he/she will be directed to a screen where with detailed view.

- 5. Performance history module should allow the employee to select any full financial year (over the last 3 full financial years) and show him how the overall score was moving during that period on a monthly basis. The tabular format should contain information as detailed in point 4 above. This functionality should be capable of providing visualizations on scoring (nature of visualization TBD). However, on clicking on any of the scores, employee should be directed to a separate screen where he/she will be shown full details as in point 3 above

HR screens

- 1. A separate “Employee performance history” module should be provided to HR for tracking the performance of all employees who fall under their scope i.e. Regional HR should be able to see information pertaining only to their region, Zonal HR should be able to see information pertaining only to their zone etc.
- 2. After the initial log in HR should be provided a link that directs him to “Employee performance history” module
- 3. On the landing page of “Employee Performance History” module, a search option should be made available to HR for inputting the employee code for which they want to see the performance history. A quick search option should also be made available to HR for searching the employee by name or branch (alpha/sol id) or department. The search option should be on multiple criteria:
 - a. Employee code
 - b. Name of employee
 - c. Scale
 - d. Role (primary/secondary/tertiary)
 - e. Designation
 - f. Location

All search results should populate with all the above information and HR should be able to deep-dive into any of the employees by clicking on employee code.

- 4. On HR searching the for the employee, key information regarding the employee should be displayed such as role of employee, designation, location, overall score, RepA, relative score etc.
- 6. Another link should be provided to HR for seeing a summary of all years for the selected employee. This screen should show following information:
 - a. YTD score obtained every time score is banked. If score is not banked for a given period, then reason for non-scoring (leave, absconding, sabbatical etc.)
 - b. Period for which score is banked
 - c. Grade of employee, if applicable
 - d. Role, scale, designation and location during the period score is banked
 - e. Cohort name for the score
 - f. Rep A during the score banked period

HR should be able to click on any of the period above on which he/she will be

directed to a screen where full information as detailed in Point 5 above is displayed

7. Performance history module should allow the HR to select any full financial year (over the last 3 full financial years) and show him how the overall score was moving during that period on a monthly basis. This functionality should be capable of providing visualizations (nature of visualization TBD). However, on clicking on any of the scores, HR should be directed to a separate screen where he/she will be shown full details as in point 5 above
8. “Employee performance history” module should also contain a link where HR can download (excel format) list of employees (with name, id, scale, role, designation, location, organization, Rep A id and name) in following cuts
 - a. By scale
 - b. By designation/role/organization
 - c. By Rep A (employee code based)
 - d. By period (monthly level)
 - e. By KRA
 - f. By Cohort
 - g. By grade

The information displayed should contain overall YTD score obtained plus discretionary score, if any along with the information as mentioned in point 4 above. Module should allow HR to select multiple criteria with in each of the dimension i.e. for e.g. HR must be able to select both scale I and scale II employees if HR is trying to filter by scale. Further, HR should be able to filter the employees basis multiple criteria in multiple dimensions i.e. for e.g. HR must be able to select both scale I and scale II employees with in scale dimension and further be able to select 4 different cohorts for filtering the relevant employees

9.6 EMPLOYEE RECOGNITION:

All eligible employee can recognize any employee for the exceptional performance displayed by the employee. Every employee who is recognized will have his/her name/photo/badge displayed in the PMS landing page. This module works on gamification model, which pushes the employees to better their performance for recognition.

Introduction

This module is for formally recognizing and appreciating (by giving awards and badges) exceptional work. Major part of this module is a Leaderboard section where high performers can be showcased to the whole workforce. This section should be accessible from every user's main Performance Dashboard page and via targeted notifications. Employee recognition should work on “gamification” model which is explained in detail in this note.

Employee recognition process

1. On the landing page of performance management system, every employee should be provided with “Rewards and Recognition” link that would direct the employee to a new page where he/she would be able to



- a. See details of badges awarded to him/her
 - b. Award a badge to any other eligible employee (will be in form of a link – “Award badge”)
 - c. Leader board
- “Eligible employee” is defined as
- a. Employee who is at least 2 scales below the awarding employee (one who is awarding badge) and the awarding employee is not a direct Reporting Authority for the employee
2. On clicking “award badge” link, employee will be directed to a screen where he/she will be able to search for an employee by name, id and scale. On the same page, awarding employee should be able to see the total number of badges he/she has left to award (every employee has at max. 3 badges to allot for a given month. Any unallocated badges in a given month are not allowed to be carry forwarded and are lapsed). When the employee searches for a given employee, the resultant search results should contain the following details:
- a. Name, employee code, scale, designation, organization and location of the employee
 - b. Primary, secondary and tertiary roles
 - c. Rep A of the employee
 - d. An identifier (in the form of tick or cross or something similar) to show that a given employee is not eligible for a badge from him due to eligibility criteria
3. On clicking the employee name, a pop-up should open where awarding employee will be able to select the dimension on which he/she wants to offer the badge. Please note that a pop-up error should open up if awarding employee doesn’t have any badges left with him/her. If awarding employee has badges left, awarding employee will be provided with following list of dimensions for badge in the form of a dropdown.
- On selecting any of the above dimensions, a free text field should open for enabling the awarding employee to provide comments for awarding a badge. Comments will be in the form of congratulatory tone for work done by the awardee employee. eg: “Mr. Sekhar has shown exceptional stewardship and customer centricity during the demonetization drive. We are proud of you Mr Sekhar!” System should have “text tip” capability that can suggest language that awarding employee can use while providing the comment. Awarding employee cannot award a badge without providing comments.
4. On awarding employee providing his/her comments, he will be able to submit the badge for vetting by HR. On submission, number of badges available with the awarding employee will reduce by one. Awarding employee should not be able to submit more badges than what was made available to him/her over a given period.
 5. HR will vet the language used in the comments and may make suggest modifications to the awarding employee. A modification button to this extent should be provided in the screen to this extent. On clicking the modify button, HR should be able to put in new text and click submit. On clicking submit, the awarding

employee will get a notification that a new text has been suggested by the HR and he/she can approve the text. On such approval or modifying the text, HR will get a notification for approving the comments or moderate the comment as discussed above.

6. On HR vetting and submitting the badge, the badge will be released for the awardee employee. In parallel, a notification mail will be sent to the following stating that a badge (with color of the badge) is awarded to the employee:
 - a. Awardee employee
 - b. Awarding employee
 - c. Rep A of awardee employee
 - d. All employees of the Cohort to which awardee employee belongs
 - e. Branch employees to which awardee employee belongs. Department employees in case of non-branch employees

Further, an sms will also be generated to all the above recipients about awardee employee and the badge. Also, system should post the news of badge awarding with employee photo in a closed group of Facebook page.

7. Awardee employee can log into the performance management system and be directed to a “Rewards and recognition” page through a link on the landing page. Upon clicking the page, awardee employee should be able to see details on the badge awarded, comments provided, details of awarding employee and date of awarding.
8. Cohort employees can provide congratulatory comments to the awardee employee. Comments can be either private or public. Public messages get populated and are shown to cohort employees when they click on any awardee employee in the performance management system. Also, HR/any assigned person should be able to moderate comments if need be.

Awarding employee screens:

1. On the landing page of performance management system, every employee should be provided with “Rewards and Recognition” link through which he/she can award a badge using the process as mentioned in “employee recognition process”
2. Employee should be provided with a link to see history (from the beginning of current financial year) of badges awarded by him/her. The details should contain the following:
 - a. Name of the awardee employee (incl. details of scale, role, designation, organization name and location)
 - b. Dimension for which badge is awarded
 - c. Date of award
 - d. Comments on awarding badge

Awarding employee should be able to sort the employees by any of the criteria mentioned above.

Awardee employee screens

1. On the landing page of performance management system, every employee should be provided with “Rewards and Recognition” link that would direct the employee to a new page where he/she would be able to



- a. See details of badges awarded to him/her
 - b. Award a badge to any other eligible employee (will be in form of a link – “Award badge”)
 - c. Leader board
2. On clicking option 1(a) above, he should be able to see list of badges awarded to him by dimension. He/she should be able to see the following information
- a. Overall level of recognition
 - b. No. of additional badges/conditions required to jump to next level of recognition
 - c. Total no. of badges received including no. of comments received from cohort employees
 - d. No. of badges received by dimension including no. of comments received from cohort employees

“Levels of recognition” is discussed in detail in annexure 10 – “employee recognition norms” (shown at end of module). Please note that the details of badges should be only for those mentioned during the current financial year. Also, the landing page and all screens which display the employee name or id should show an “icon” next to employee’s name/id which indicates the level of recognition that employee has achieved

3. On clicking any of the numbers mentioned in “Total no. of badges received” or “No. of badges received by dimension”, a summary of following information should be provided to employee:
- a. Badge received date
 - b. Dimension on which badge is received
 - c. Awarder name, designation and scale
 - d. Awarder comments for awarding the badge
 - e. No. of comments received on the badge (comments should be displayed in the form of a pop up when comments number is clicked. Comments should have an identifier to differentiate between private and public messages. Comments should also contain the name, scale, location and designation of the employee providing the comments)
4. An option should be provided to select any of the past three full financial years to know details of badges awarded in the past:
- a. Overall level of recognition
 - b. Total no. of badged received
 - c. No. of badges received by dimension

Cohort employee screens:

1. On the landing page of performance management system, every employee with in a cohort should be able to see the following information:
 - a. Image of the employee (accompanied by name) who has achieved the “Mr. GEMS Bond” recognition during the last one quarter
 - b. Images of employees (accompanied by name) who have achieved the highest level of recognition with in the cohort over the last one month
 - c. Images of employees (accompanied by name) who have received a badge during the last one week within the cohort

The above feed should be refreshed on weekly basis. However, employee should be given an option to select overall region or zone or bank for seeing information of employees on above three parameters.

2. On clicking any of the images, a pop-up should open which shows the following details:
 - a. Name, scale, designation, role and location of the employee
 - b. Phone no. and email id of the employee
 - c. Date of award and dimensions in which employee has received badges (with visuals of badges awarded)
 - d. Name, scale, designation, role and location of the awarding employee for each of the badges
 - e. Comments from awarding employee for awarding the badge
 - f. A scrolling “comments box” where all public messages are listed

The popup should contain a “comments box” which allows the cohort employee to post congratulatory messages. However, system should be capable of filtering out offensive comments. These messages should have the option of being private or public. In case of private messages, the awardee employee will get a notification mail that a given employee has commented on his/her badge.

3. On the landing page of performance management system, every employee should be provided with “Rewards and Recognition” link that would direct the employee to a new page where he/she would be able to
 - a. See details of badges awarded to him/her
 - b. Award a badge to any other eligible employee (will be in form of a link – “Award badge”)
 - c. Leader board
4. On clicking the “Leader Board”, employee will be directed to a new page where he/she will be able to see the full list of employees who have received badges by level of recognition. On top of the list, employee’s position should be displayed. If employee has not been awarded any badge, then a message should be shown that employee has not yet been awarded a badge. The list should contain the following:
 - a. Image of the employee
 - b. Name, scale, designation and location of awardee employee
 - c. Name, scale, designation and location of awarding employee
 - d. Dimensions in which badge is received
 - e. Comments received from the awarding employee on the dimension
 - f. Rank of awardee employees.

List should be sorted on the basis of level of recognition and in case of a tie, it should be sorted by no. of badges and then by seniority and years of experience with Bank of Baroda. Employee can search for any person in leader board by employee id, name, designation, location or dimension. The list should refresh on weekly basis

5. Employee should be able to click on any image and see the comments made by other employees. An option should be provided for the employee to enter his comments in private or public mode (by way of a check box - “send this message

in private mode”). In public mode, comments will be visible to all in the cohort. In private mode, comments will be visible only to awardee employee – separate marking to this extent should be shown that the comment is in private mode.

HR Screens

1. HR screens in this module mostly deal with moderating the comments of awarding employees and congratulatory comments made by cohort employees. Further, HR should be able to different MIS reports w.r.t employees awarded badges in different dimensions, levels of recognition achieved etc. These screens are available only for central HR.
2. After the landing page, HR will be directed to “Rewards & recognition” page through a link. On this page, HR should be able to see a list of employees for whom the comments have to be vetted. The list should contain the following:
 - a. Name, scale, designation and location of awarding employee
 - b. Name, scale, designation and location of awardee employee
 - c. Dimension on which badge is awarded
 - d. Comments provided by the awarding employee
3. On clicking the comments, a popup should open with either “approve” or “edit” option. On clicking the approve option, comments will be made available to cohort and process as mentioned in “Employee recognition process” will be followed for communication. If HR selects “edit” option, then the comments field filled by awarding employee will become editable and HR can edit the comments (post confirmation with awarding employee) and approve the same. Post HR approval, the same gets posted in the performance management system
6. In the “Rewards and recognition” page, a link should be provided for the HR to access the leaderboard. On clicking the leaderboard link, HR will be directed to a page where HR can select any cohort and look at the leaderboard stats of employees who have received badges by level of recognition. The list should contain the following:
 - a. Image of the employee
 - b. Name, scale, id, designation and location of awardee employee
 - c. Name, scale, id, designation and location of awarding employee
 - d. Dimensions in which badge is received
 - e. Comments received from the awarding employee on the dimension
 - f. Rank of awardee employees.

List should be sorted on the basis of level of recognition and in case of a tie, it should be sorted by no. of badges and then by seniority and years of experience with Bank of Baroda. Employee can search for any person in leader board by employee id, name, designation, location or dimension. The list should refresh on weekly basis

7. HR should be able to download the list of employee who got recognized in the form of an excel. A clickable button to this extent should be provided on top of the table. Further, a calendar should be provided on top of the list to view leaderboard on any given date. Also, HR should be able to download the list of all employees who have been awarded badges over a given period. Downloads should contain the following

information

- a. Name, scale, id, designation and location of awardee employee
- b. Name, scale, id, designation and location of awarding employee
- c. Dimension in which badge is received
- d. Comments received from the awarding employee on the dimension
- e. Name, scale and designation of HR employee vetting the comments

HR should have the option to download the full dump for a given period along with branch, region and zone names.

8. HR should be able to add new badges/dimension (including design and imagery) or change names of badges/dimensions as and when need be. This could be provided through a separate a link titled “Recognition administration”. On clicking the link, HR will be directed to a separate screens, where HR will be shown list of badges, levels of recognition, and images used for the same. On clicking the same, a popup should open which should show following information
 - a. Current name (non-editable)
 - b. Current image (non-editable)
 - c. Free text field for enabling HR to provide new name
 - d. Attachment field for enabling HR to upload a new image
 - e. Upload button uploading the attachments and previewing the image
 - f. Submit button for transferring the form for approval
9. On clicking submit, the form flows to a “checker” HR who will approve the changes. A notification mail will be generated for the “checker” HR with a link that directs him/her to the approval page.
10. On clicking the link in notification mail, checker HR will be directed to approval page where he/she will be able to see the following information:
 - a. Current name
 - b. Current image/design
 - c. New name
 - d. New image/design
 - e. Approve button for approving the change (dual confirmation to be in place i.e. an additional “are you sure” screen should pop up on approving the change)
 - f. Modify button for changing name or image or both (dual confirmation to be in place i.e. an additional “are you sure” screen should pop up on approving the change)
 - g. Reject button for not accepting the change – if clicked, a new field should open up for giving rejection comments

On approving (incl. modified approval) or rejecting, PMS system should update all the badges with new images and names. In the backend, a notification mail should be generated to the HR who raised the request that his/her request has been approved, approved with modification or rejected.

9.7 MID TERM REVIEW:

Mid-term review involves employee completing self-appraisal and Reporting authority providing his comments on the performance (incl. areas of strength and development)



of the employees.

9.8 END TERM APPRAISAL:

End-term review involves employee completing self-appraisal, Reporting authority providing comments, scoring for non-measurable KRAs, conduct of cohort workshops, deciding the ratings and closing the roles.

PERFORMANCE APPRAISAL (Mid-Term and End-term)

Introduction

This module covers the mid and end term appraisal of employee's performance. This page can look different for different users depending on the role they are on. The idea of this page is to enable the employees and other stakeholders on assessing the performance of the employees based on actuals achieved against targets and subjective scores provided by the Reporting Authority (Rep A).

Contingencies:

1. Non measurable roles & KRAs
2. Regional manager appraisal
3. Transfers
4. Measurable KRAs but non-system driven

End term review process flow

At the end of every financial year (i.e. March 31 or any other date as may be notified by the Bank), employee's performance will be reviewed and assessed for the purpose of grading.

HR will trigger an automated mail at the beginning of the year which will be sent to all employees stating end term appraisal for previous Financial year is now active and also indicate the due date (as may be decided by the HR – can be different for different employees) for completion of end term appraisal.

The notification mail should contain a link to the self-appraisal page

On receipt of mail, employees should be able to click open the link and be directed to the self-appraisal page where he will be shown following information:

1. Basic details of the employee (name, designation, scale, branch, Rep A etc)
2. Year for which assessment is being done
3. List of KRAs (budgetary, measurable, non-measurable & discretionary parameters) on which he is being assessed
4. Weights for each of the KRAs on which he is being assessed
5. Targets (in case of measurable and budgetary roles) against the KRAs on which he is assessed
6. Achievement (in case of measurable and budgetary roles) against the KRAs on which he is assessed
7. System generated score for each of the measurable and budgetary KRAs (Scoring mechanism will be discussed in detail in Scoring module)

8. Free text field against each of the KRAs and discretionary parameters on which Employee should be able to fill his views on his performance
9. An overall free text field where employee will comment on his overall performance

Employee will fill in his view on his performance in the free text field and submits the application. If self-assessment is not completed within 10 days from the date of process trigger (i.e. date on which the notification mails are sent out), then employee would be deemed to have completed the self-appraisal with no comments.

On employee submitting the self-appraisal form, Rep A will receive a notification mail stating that a given employee has completed his self-appraisal and that now Rep A can start scoring/role closure process. However, an option should be provided to the Rep A requesting the employee to complete self-assessment.

If an employee has spent less than a pre-defined time period (e.g. 3 months) in a particular role during year-end, no score will be generated for the employee in such a scenario.

On clicking the link in the self-appraisal completion notification mail, Rep A should be directed to the page where following information is displayed:

1. Employee information (Name, Scale, Designation, Role, etc)
2. Overall system generated score of the employee
3. List of KRAs (incl. discretionary parameters), weights, targets and achievements against the KRAs
4. Employee comments on his performance against each of the KRAs
5. A free text field against each of the KRAs through which Rep A will be able to provide comments on each of the non- discretionary parameters
6. An overall free text field where Rep A will comment on the overall performance of the employee
7. Restricted number field (min & max criteria) for scoring non-system driven, non-discretionary KRAs
8. A multiple choice form for scoring five discretionary KRAs with scale 1-6 and related rating description.

If the difference between the achievement of discretionary score % and achievement of non-discretionary score % is +/-20% points, then it would be ideal to make it mandatory for Rep A to give justification for the variance. Rep A should not be able to submit the end term appraisal without filling the reason for variance. If there's no such variance, Rep A can directly submit the end term appraisal. Work-around can also be suggested.

On Rep A submitting the end term appraisal form, Rev A will receive a notification mail stating that the Rep A has completed the end term appraisal for a given employee. On clicking the link in the mail, Rev A will be directed to following page, where following information is displayed for that particular employee:

1. Details of the employee (name, scale, designation, roles, location etc)
2. Details of Rep A (name, scale, designation, location etc)
3. Overall score of the employee with breakup of system generated and discretionary

score.

4. List of KRAs, weights, targets and achievements on which employee is assessed
5. Employee comments on his performance and Rep A comments on employee performance
6. Rep A's comments on discretionary score
7. Rep A's comments on variance between discretionary and non-discretionary score.
8. A button for revising the Rep A provided scores on discretionary parameters. On clicking the button, a multiple choice form for scoring the discretionary KRAs should be displayed i.e. for each of the discretionary parameters, Rev A will be given five options on each of the discretionary parameters where, on selecting the option, score for that parameter is auto-populated. Rev A should be shown score for each of the parameter even before selection. Please note that the "Variance check" (i.e. difference between % achievement in discretionary score and % achievement in non-discretionary score should be less 20% points) should be again run if Rev A changes discretionary score. If the "Variance check" flag goes off, then Rev A should be provided additional field to fill in reasons for such variance
9. An overall free text field where Rev A can comment on the employee performance

Score for a given employee will be frozen on Rev A submission in following cases:

1. Rev A doesn't make any change in the discretionary scores and directly approves the scores provided by the Rep A
2. Rev A makes changes discretionary score but difference is less than 5 points and there has been no "slab change" i.e because of modification in score, employee may move from average to high performer, or outstanding to high performer etc.

In both the above cases, Rep A will be notified about freezing of score and changes if any

In following cases, Rev A would send the form back to Rep A to make modification and send back to him:

1. Where the difference between Rep A provided discretionary score and Rev A provided discretionary score is more than 5 points
2. Where the difference between Rep A provided discretionary score and Rev A provided discretionary score is less than 5 points but there is a "slab change"

After Rep A makes the modification, Rev A would submit the form and scores will be frozen. In cases other than above 2 cases, Rev A can directly submit the form and scores would be frozen.

If Rep A chooses to appeal the Rev A scoring, then a notification mail will be generated for Accepting Authority (AA) and Rev A, who will see the following information on the appeal:

1. Details of the employee (name, scale, designation, roles, location etc)
2. Details of Rep A (name, scale, designation, location etc)
3. Overall score of the employee with breakup of system generated and discretionary score.



4. List of KRAs, weights, targets and achievements on which employee is assessed
5. Employee comments on his performance and Rep A comments on employee performance
6. Rev A's & Rep A's comments on discretionary score
7. Rev A's & Rep A's comments on variance between discretionary and non-discretionary score.
8. Free text field in which AA will provide comments/reasons for appeal disposal

AA will have the option to choose either Rep A discretionary score or Rev A discretionary score. On selecting one option, AA will have to provide reasons for selecting the option and submit the same. On resolving the appeal, scores for the employee will be frozen and Rev A/Rep A will be appropriately notified

On freezing of scores, HR will be notified about the details of employees (along with discretionary and non-discretionary scores they achieved) where scores have been frozen and a "communication trigger" will be provided to HR to convey scores to employees. On activating this trigger, all the employee for whom the scores are frozen, should be able to see scores in the system including following details:

1. YTD Non-discretionary (system driven and non-system driven separately) and discretionary scores achieved. Quarterly scores achieved on Non-discretionary non system driven scores and discretionary scores. YTD non-discretionary non-system driven scores and discretionary scores are weighted average scores of quarterly scores for respective parameters
2. Rep A's comments on employee's performance along with scores provided by Rep A
3. Rev A's comments, if any, on employee's performance along with scores provided by Rev A
4. Accepting authority's comments, if any, on appeal disposal

In case employee is not ok with the scores or grades provided, then employee can make an appeal. However, this appeal process will be off-line. Final score/grade from such appeal will be uploaded by HR and the final score/grade should be updated in the system for a given employee.

Loop closure: If employee chooses to appeal the scores, the process for the same will be off line and the final score from such appeal process will be uploaded by the HR and can be later seen by the employee

Contingencies to be incorporated in the system:

1. Scoring for "non-measurable roles & KRAs": Scoring for non-measurable roles and KRAs will be done quarterly i.e. 4 times in a year. Weighted average (basis no. of days - open to work-around) of these scores will be the final score of the employee for the year. This calculation of weighted average should be system driven. In case of non-measurable roles, after the employee completes self-appraisal, Rep A will be able to give scores on each of the KRAs on which employee is assessed. On completion of scoring, the application, instead of going to Rev A, will be directed to "Cohort chair". In parallel, a notification mail will be sent to HR on the completion of scoring and pendency with Cohort chair. A separate off-line process will be carried

on where Rep A will discuss the performance of the employee with the Cohort chair and score is mutually agreed upon for the employee. Basis the discussion in the “Cohort chair” meeting, HR will upload the final scores for the employee for each quarter. On such upload, employees will get a notification mail stating that their appraisal for the quarter is complete and they can check the score in the system. Employee should be shown weighted average scored for the year, and scores for each of the quarter elapsed. At the end of the year, system should auto-calculate the weighted average scores and display the final score to employee after the HR releases the “communication trigger”. In this case, Rev A and AA roles will not be present

2. Scoring in case of Transfers / Role Change: In case of measurable roles, when an employee is transferred/ if role changes, scores (incl. the discretionary score) of that employee should be calculated as per the end term appraisal process. The process must be automatically initiated within 2 days of the transfer. On completion of process, employee will be communicated (there is no need for HR communication trigger) about the score for the given role and that this score is only for the number of days the employee was in that role during the year. The frozen scores will be saved in the back end and will be weighted averaged (on the basis of no. of days) at the end of the year. For e.g. if an employee gets transferred on Jul 21 (i.e. 112 days of service in the role), then the appraisal process for that employee will be initiated as per the “end term appraisal process”. Employee will complete his self-appraisal (a notification mail to this extent should be sent to employee for completion of self-appraisal), Rep A will provide scores on discretionary parameters (incl. comments if any), Rev A will review the scores, and AA will dispose of appeals if any. On completion of the above process, say the final frozen score is 70 marks (incl. discretionary score), the same will be stored in back end. At the end of the year, same end term appraisal process will be run for the employee on the new transferred role (i.e. 283 days of service) and say final frozen score is 90 marks (incl. discretionary score). Again this will be stored in the back end. While communicating the final score to the employee, following scores will be communicated

- Weighted average score i.e. $83.8 [((70*112)+(90*253))/365]$
- Score of initial role i.e. 70 marks and no. of days in that role
- Score of new role i.e. 90 marks and no. of days in that role

An officer will be allocated a score for a particular role only if (s)he has spent more than a particular time period (e.g. 3 months) in that role

In case the Rep A changes during a particular role, the officer who was the Rep A for the most duration for the officer during the role must provide discretionary score for that role. In case of retiring Rep A, then automated SMS/notifications should be sent to Rep A, Rev A, employee and HR for completing the appraisal of employee until the retirement date (not required if retiring Rep A has been Rep A for the employee for less than 3 months)

3. Regional manager appraisal and scoring: In case of Regional Manager (RM) performance appraisal, in addition to the usual process, a separate parallel process

will be initiated after RM fills in his self-appraisal. Notification mails are generated to both Rep A and Vertical Heads (VH) on RM completing the self-appraisal. In case of VH, on clicking the link in notification mail, multiple choice form will be provided to each of the vertical heads for a given RM. The form contains the parameters on which Rep A is being assessed and weightage for each of the parameter and option. Once the VH selects the option for each of parameters, overall score for the RM should be displayed and this should be in real time i.e once VH selects an option for a given parameter, VH should be able to see the cumulative score for RM on selecting that option. For eg. if for the first parameter, VH selects an option which has a weight of 5 marks, then VH should be displayed 5 marks (out of maximum as may be decided later). Then for the second parameter, VH selects an option which has weight of 3 marks, then VH should be displayed 8 marks (out of maximum as may be decided later). Form also contains a free text field where VH can give comments on RM's performance. After filling in the details, VH can submit the form. In the backend, system should collate the information from each of the VHs and calculate an overall score for VH based on a predetermined formula (TBD). The resultant score is then made part of the discretionary score of the RM and the usual process continues.

4. Scoring for measurable scores but non-system driven: In case of measurable roles for which achievement details are non-system driven, employee should be able to input achievement levels (at self-appraisal stage) and on inputting such achievement, score should be auto-calculated for that KRA. On employee submitting the self-appraisal page, Rep A should be able to change the achievement level. However, any change has to be accompanied by commentary for such change.

Employee screens:

1. During the end term appraisal cycle, on initial log in, employee should be provided a pop-up which notifies start of appraisal cycle and that the employee has to complete self-appraisal by a given date
2. As a normal procedure, after the log in, employee should be provided with a link on the home page which will direct the employee to "end term appraisal" page
3. In the "end term appraisal" page, employee should be able to see the status of the appraisal in following stages in the form of a "donut" and deadline for completion for each of the stage where the application is pending:
 - a. Self-appraisal
 - b. With Rep A
 - c. With Rev A
 - d. With AA
 - e. With VH (in case of RM)
 - f. With HR
 - g. Final score
4. On clicking "self-appraisal", employee will be shown following information:
 - a. Basic details of the employee (name, designation, scale, branch, Rep A etc)
 - b. Year for which assessment is being done



- c. List of KRAs (budgetary, measurable, non-measurable & discretionary parameters) on which he is being assessed
 - d. Weights for each of the KRAs on which he is being assessed
 - e. Targets (in case of measurable and budgetary roles) against the KRAs on which he is assessed
 - f. Achievement (in case of measurable and budgetary roles) against the KRAs on which he is assessed
 - g. System generated score for each of the measurable and budgetary KRAs (Scoring mechanism will be discussed in detail in Scoring module)
 - h. Free text field against each of the KRAs and discretionary parameters on which Employee should be able to fill his views on his performance
 - i. An overall free text field where employee will comment on his overall performance
5. There should be a “Save” option for the employee so that employee can revisit the self-appraisal form later
 6. On clicking submit on self-appraisal page, status should change from “Self-Appraisal” stage to “With Rep A” stage. As soon as the application moves forward along the process chain, the status page should refresh with latest stage.
 7. On the application status changing to “Final score”, employee should be able to check score and other information w.r.t end term appraisal such as
 - a. Non-discretionary and discretionary scores achieved. Quarterly scores achieved on Non-discretionary non system driven scores and discretionary scores
 - b. Rep A’s comments on employee’s performance along with scores provided by Rep A
 - c. Rev A’s comments, if any, on employee’s performance along with scores provided by Rev A
 - d. Accepting authority’s comments, if any, on appeal disposal

Rep A screens

1. As a normal procedure, after the log in, employee should be provided with a link on the home page which will direct the employee to “end term appraisal” page
2. On clicking the “end term appraisal” page, Rep A will be directed to an interim page where Rep A should be able to choose whether he wants to continue as an “Employee” or as a “Reporting authority”
3. On clicking, “Reporting Authority”, Rep A will be directed to a screen where he should be able to see
 - a. List of all employees reporting to Rep A along with system generated scores for each of the employee
 - b. Whether employee is Budgetary/measurable and non-measurable
 - c. Status of the respective employee appraisal applications
 - i. Self-appraisal stage
 - ii. Pending for scoring
 - iii. With Rev A
 - iv. Score changed by Rev A
 - v. With AA

- vi. With Cohort Chair (in case of non-measurable roles)
 - vii. With HR(in case of non-measurable roles)
 - viii. Scores frozen
4. Rep A should be able to sort and filter the employees using any of the stages as described above. Also, Rep A should be able to click any of the employees and be able to deep-dive into details of those employees as described in the “End term appraisal process”
 5. In case of employees where application is still in “Self-Appraisal” stage, Rep A should be able to trigger a reminder mail to the respective employees (bulk triggering can be made possible using other alternatives as well)
 6. In case of “pending for scoring”, Rep A can select any employee and complete scoring as described in “End term appraisal process”. Rep A should be provided with options to save the scores without submitting for Rev A
 7. In case of “scores changed by Rev A”, Rep A should be able to either accept or appeal the score as described in the “End term appraisal process”. Options to be explored for enabling Bulk/multiple approval or appeal facility should be made available to the Rep A

Rev A screens

1. As a normal procedure, after the log in, employee should be provided with a link on the home page which will direct the employee to “end term appraisal” page
2. On clicking the “end term appraisal” page, Rev A will be directed to an interim page where Rev A should be able to choose whether he wants to continue as an “Employee”, as a “Reporting authority” or as a “Reviewing authority”
3. On clicking, “Reviewing Authority”, Rev A will be directed to a screen where he should be able to see
 - a. List of all employees for whom the scores have to reviewed along with breakup of system generated and discretionary scores
 - b. Reporting authority of respective employee whose scores have to be reviewed
 - c. Status of “Variance check” – i.e. is it on or off
 - d. Appealed by Rep A and pending with AA
 - e. Scores frozen
4. Rev A should be able to sort and filter the employees using any of the stages/parameters as described above. Also, Rev A should be able to click any of the employees and be able to deep-dive into details of those employees as described in the “End term appraisal process”. On making the changes, if any, Rev A should be able to save the changes in discretionary score with out submitting the same
5. Rev A should be provided with an option to bulk/multi submit the scores

Accepting Authority Screens

1. As a normal procedure, after the log in, employee should be provided with a link on the home page which will direct the employee to “end term appraisal” page
2. On clicking the “end term appraisal” page, AA will be directed to an interim page where AA should be able to choose whether he wants to continue as an



- “Employee”, as a “Reporting authority”, as a “Reviewing authority” or as an “Accepting Authority”
3. On clicking, “Accepting Authority”, AA will be directed to a screen where he should be able to see list of all pending appeals with following details
 - a. List of all employees for whom the scores have to reviewed along with breakup of system generated and discretionary scores as provided by Rep A and Rev A
 - b. Reporting authority of respective employee
 - c. Status of “Variance check” – i.e. is it on or off
 4. AA should be able to sort and filter the employees using any of the stages/parameters as described above. Also, AA should be able to click any of the employees and be able to deep-dive into details of those employees as described in the “End term appraisal process”.

Cohort Chair screens

1. As a normal procedure, after the log in, employee should be provided with a link on the home page which will direct the employee to “end term appraisal” page
2. On clicking the “end term appraisal” page, employee will be provided another link titled “Cohort chair” which will direct the employee to cohort chair page which displays following information
 - a. List of employees for whom scoring is to be frozen and scores given by Rep A for those employees
 - b. List of Rep As who have to be invited for cohort chair meetings
 - c. Cohort against which the employee belongs
3. Cohort chair should be provided with a trigger to request for “cohort chair” meeting with a notification mail to regional, zonal and central HR teams
4. On completion of “Cohort chair” meeting, Cohort Chair will be able to mark a particular cohort as completed i.e scores frozen.

Vertical head screens

1. As a normal procedure, after the log in, employee should be provided with a link on the home page which will direct the employee to “end term appraisal” page
2. On clicking the “end term appraisal” page, employee will be provided another link titled “Inputs for RM” which will direct the employee to RM appraisal page which displays following information
 - a. List of RMs for which form is to be filled (Name and location should be displayed)
 - b. Status of each forms of each of the RMs (i.e. not started, started, submitted)

VH should be able to filter and sort basis the above the parameters

3. VHs should be able to save the forms without submitting it

HR screens

1. This is an administrative page for running the “end term appraisal” process. Adequate checks and controls should be in place so that work flows can be appropriately delegated within the HR team. Stakeholders within the HR team who



- will be working on the end term appraisal process are:
- a. HR head for kick starting the process of end term appraisal
 - b. Central HR team for tracking countrywide progress of end term appraisal process
 - c. Zonal HR team
 - d. Regional HR teams
2. On the home page of “end term appraisal”, HR should be able to see following statistics:
 - a. % of employees for whom end term eval and discussion with Rep A is completed
 - b. % of employees where end term eval is pending for discussion
 - c. % of employees where end term eval is pending with employee
 - d. % of employees where end term eval is pending with Rep A or Vertical head
 - e. Median employee score
 - f. Grade curve with an option to choose cohort in the form of a dropdown – marks or percentile at each cutoff should be highlighted
 3. After the initial log in, HR should be provided with a link which will direct HR to a page where HR will be able to see (and download) the following information:
 - a. List of zones with no. of employees
 - b. No. of employees where scores are frozen in each of the zones (along with completion %)
 - c. No. of employees where self-appraisal is pending
 - d. No. of employees where Rep A scoring is pending
 - e. No. of employees where Rev A reviewing is pending
 - f. No. of employee where AA appeal resolution is pending
 - g. No. of employees where Cohort scoring is pending
 - h. No. of employee where scores are to be uploaded by HR
 4. HR should be able to filter the zones using any of the parameters above. Further, Central HR should be able to deep dive into regions, branches & employees in any of the parameters if need be. However, Zone/Regional HR should be able to deep-dive only for their respective zones/regions and will not be able to see others’ performance
 5. Central HR can set grade curve. A separate screen to this extent should be provided. On the home screen of grade curve sheet, HR should be able to see the grade with an option to see grade curve of any cohort with marks or percentile at each cut-off. On this screen, central HR can upload the excel sheet on what are the cut-offs for each grade. The cut off can be either relative score (i.e. top 10%, top 20% etc) or an absolute score (i.e. 90 marks, 80 marks etc). On such upload, grade curve should be reset basis the new cut-offs and HR should be able to see the same on making the upload (selecting cohort option should still be present)
 6. Central HR should be provided with a trigger to release scores to all employees where scores are frozen. Trigger can be individual, group, multi employee or bulk.
 7. Central HR team should be provided with a screen to upload the scores of non-measurable employees after completion of cohort chair meetings
 8. Central HR team should be provided with a screen to upload final scores/grades in case of appeal by employee

Mid-term review process flow

Mid-term review is meant to give employees an assessment of their performance, strengths and weaknesses they have to work on so that the targets are achieved at the end of the year. Mid-term review can happen on quarterly basis (except for last quarter where only end term happens). Review for a particular quarter happens after the completion of that quarter and at the beginning of next quarter i.e. mid-term review for Q1 will happen at the beginning of Q2.

At the beginning of every quarter, a notification mail will be sent to all employees (HR should be able to select category of employees, such as branch and non-branch employees, for whom the mail has to be generated) stating that they are eligible for mid review. On logging in at the beginning of every quarter (except for the 1st quarter), employee will be provided with a pop-up which states that employee is eligible for mid review of his performance and the same can be accessed through “mid-term review” page.

On receipt of mail, employees should be able to click open the link and be directed to the self-appraisal page where he will be shown following information:

1. Basic details of the employee (name, designation, scale, branch, Rep A etc)
2. Period for which assessment is being done
3. List of KRAs (budgetary, measurable, non-measurable & discretionary parameters) on which he is being assessed
4. Weights for each of the KRAs on which he is being assessed
5. Targets (in case of measurable and budgetary roles) against the KRAs on which he is assessed
6. Achievement (in case of measurable and budgetary roles) against the KRAs on which he is assessed
7. System generated score for each of the measurable and budgetary KRAs (Scoring mechanism will be discussed in detail in Scoring module)
8. Restricted number field (with min and max constraints) against KRAs which are part of non-discretionary parameters but score not driven by system
9. Free text field against each of the KRAs on which Employee should be able to fill his views on his performance
10. An overall free text field where employee will comment on his overall performance. Free text field should be divided into multiple sections viz-a-viz details of achievements, details of areas for development and support needed from Rep A.

Employee will fill in his view on his performance in the free text field and submits the application. If self-assessment is not completed within 10 days from the date of process trigger (i.e. date on which the notification mails are sent out), then employee would be deemed to have completed the self-appraisal with no comments.

On employee submitting the self-appraisal form, Rep A will receive a notification mail stating that a given employee has completed his self-appraisal and that now Rep A can start midterm review. However, an option should be provided to the Rep A requesting the employee to complete self-assessment.

On clicking the link in the self-appraisal completion notification mail, Rep A should be

directed to the page where following information is displayed:

1. Employee information (name, scale, designation, roles, etc)
2. Overall system generated score of the employee
3. List of KRAs (incl. discretionary parameters), weights, targets and achievements against the KRAs
4. Employee comments on his performance against each of the KRAs
5. A free text field against each of the KRA for Rep A to provide his/her comments. Free text field should be divided into multiple sections viz-a-viz details of achievements and details of areas for development
6. An overall free text field where Rep A will comment on the overall performance of the employee. Free text field should be divided into multiple sections viz-a-viz details of achievements and details of areas for development

Rep A has the option to provide comments against each of the KRAs and on overall performance of the employee. Once details are filled in and submitted by Rep A, a notification mail will be generated for the employee stating that Rep A has provided comments on employee's performance.

Contingencies 1: Mid-term appraisal for “non-measurable roles”

In case of non-measurable roles, the process remains same as measurable roles process.

Contingency 2: Regional manager appraisal and scoring

In case of Regional Manager scoring, the usual process as mentioned in End term appraisal process will continue.

Employee screens:

1. During the midterm appraisal cycle, on initial log in, employee should be provided a pop-up which notifies start of appraisal cycle and that the employee has to complete self-appraisal by a given date
2. As a normal procedure, after the log in, employee should be provided with a link on the home page which will direct the employee to “midterm appraisal” page
3. In the “midterm appraisal” page, employee should be able to see the status of the appraisal in following stages in the form of a “donut” and deadline for completion for each of the stage where the application is pending:
 - a. Self-appraisal
 - b. With Rep A
 - c. With Vertical Head (in case of certain employees such as RM/ZM)
 - d. Self-appraisal completed
4. On clicking “self-appraisal”, employee will be shown following information:
 - a. Basic details of the employee (name, designation, scale, branch, Rep A etc)
 - b. Year for which assessment is being done
 - c. List of KRAs (budgetary, measurable, non-measurable & discretionary parameters) on which he is being assessed
 - d. Weights for each of the KRAs on which he is being assessed
 - e. Targets (in case of measurable and budgetary roles) against the KRAs on



- which he is assessed
 - f. Achievement (in case of measurable and budgetary roles) against the KRAs on which he is assessed
 - g. System generated score for each of the measurable and budgetary KRAs (Scoring mechanism will be discussed in detail in Scoring module)
 - h. Free text field against each of the KRAs and discretionary parameters on which Employee should be able to fill his views on his performance
 - i. An overall free text field where employee will comment on his overall performance
5. There should be a “Save” option for the employee so that employee can revisit the self-appraisal form later
 6. On clicking submit on self-appraisal page, status should change from “Self-Appraisal” stage to “With Rep A” stage. As soon as the application moves forward along the process chain, the status page should refresh with latest stage.
 7. On the application status changing to “Self-appraisal completed”, employee should be able to check following information with respect to end term appraisal
 - a. Rep A’s comments on employee’s performance against each of the KRAs
 - b. Rep A’s comments on employee’s overall performance along with areas of strength and development
 - c. Vertical head’s comments employee’s performance (in case of RM/ZM)
 - d. A button for employee to acknowledge that he/she had mid eval discussion with Rep A

Rep A screens

1. As a normal procedure, after the log in, employee should be provided with a link on the home page which will direct the employee to “Mid-term appraisal” page
2. On clicking the “Mid-term appraisal” page, Rep A will be directed to an interim page where Rep A should be able to choose whether he wants to continue as an “Employee” or as a “Reporting authority”
3. On clicking, “Reporting Authority”, Rep A will be directed to a screen where he should be able to see
 - a. List of all employees reporting to Rep A along with system generated scores for each of the employee
 - b. Whether employee is Budgetary/measurable and non-measurable
 - c. Status of the respective employee appraisal applications
 - i. With employee
 - ii. Pending with Rep A
 - iii. Mid-term eval completed
4. Rep A should be able to sort and filter the employees using any of the stages as described above. Also, Rep A should be able to click any of the employees and be able to deep-dive into details of those employees as described in the “Mid-term appraisal process”
5. In case of employees where application is still in “With employee” stage, Rep A should be able to trigger a reminder mail to the respective employees (bulk triggering should be made possible)
6. In case of “pending with Rep A”, Rep A can select any employee and complete mid-

term feedback as described in “Mid-term appraisal process”. Rep A should be provided with options to save the feedback at any point of time

Vertical head screens

1. As a normal procedure, after the log in, employee should be provided with a link on the home page which will direct the employee to “Mid-term appraisal” page
2. On clicking the “Mid-term appraisal” page, employee will be provided another link titled “Inputs for RM” which will direct the employee to RM appraisal page which displays following information
 - a. List of RMs for which form is to be filled (Name and location should be displayed)
 - b. Status of each forms of each of the RMs (i.e. not started, started, submitted)

VH should be able to filter and sort basis the above the parameters

3. On clicking any of the RM name, a pop-up will open where VH will be able to provide comments on RM’s performance. A free text field to this extent should be provided to VH. The free text field should have sections for highlighting areas of strength and areas of development. VHs should be able to save the forms without submitting it

HR screens

1. This is an administrative page for running the “Mid-term appraisal” process. Adequate checks and controls should be in place so that work flows can be appropriately delegated within the HR team. Stakeholders within the HR team who will be working on the end term appraisal process are:
 - a. HR head for kick starting the process of Mid-term appraisal
 - b. Central HR team for tracking countrywide progress of end term appraisal process
 - c. Zonal HR team
 - d. Regional HR teams
2. On the home page of “mid-term appraisal”, overall bank numbers with respect to following should be displayed:
 - a. % of employees who completed self-appraisal and had discussion with Rep A
 - b. % of employees where self-appraisal is still pending with employee
 - c. % of employees where self-appraisal is still pending with Rep A/Vertical head
3. After the initial log in, HR should be provided with a link which will direct HR to a page where HR will be able to see (and download) the following information:
 - a. List of zones/regions with no. of employees
 - b. No. of employees where self-appraisal is pending
 - c. No. of employees where Rep A scoring is pending
 - d. No. of employees where Vertical head scoring is pending
 - e. No. of employees for whom mid-eval is completed and is not acknowledged by the employee
 - f. No. of employees for whom mid-eval is completed and is acknowledged by the employee
4. HR should be able to filter the zones using any of the parameters above. Further,

Central HR should be able to deep dive into regions, branches & employees in any of the parameters if need be. However, Zone/Regional HR should be able to deep-dive only for their respective zones/regions and will not be able to see others' performance

5. Central HR should be provided with a trigger to release scores to all employees where scores are frozen. Trigger can be individual, group, multi employee or bulk.

Central HR team should be provided with a screen to upload the scores of non-measurable employees after completion of cohort chair meetings.

9.9 HR ADMIN:

This module is an exclusive access to certain employees of HR for various activities revolving around the employee performance management including resolving employee queries/service requests, kick start appraisal process, follow-up for role allocation and closure etc.

Introduction

This module details out various screens which HR must have access to. While many of these screens are already covered in other module BRDs, this note details out additional screens which HR requires access to.

Modules accessible by HR

HR should have access to following modules:

1. Mid-term appraisal screens
2. End term appraisal screens
3. Org module
4. Employee recognition
5. Performance history
6. Role/KRA assignment
7. Role modification
8. Target viewing
9. Help center

All the above screens should be made available through "HR admin" section. Further, checks and balances should be in place to ensure that adequate access rights are provided depending on the HR level. For instance, a regional HR should be able to see the details (of employees, process status etc.) only in his/her region for the above modules. Similarly, zonal HR should be able to see details only in his/her zone. Also, system should have the capability to divide the responsibilities i.e. it is not necessary that all the modules are to be seen by a single HR person. They can be divided among multiple HR people along with maker checker concept in place.

Please note that different roles and privileges are provided to HR, so that HR employee log in for managing own PMS should be different from HR logging into dispose of his/her duties as HR.

Key activities performed by HR in various modules

1. Upload of cohorts
2. Upload of roles, KRAs and related targets
3. Upload of cohort chair scores
4. Setting of grade curve

Please note above list is not exhaustive and additional activities can be added and system should have the flexibility to add new process flows or activities.

HR screens

1. After the initial log in, HR should be able to see the following dashboard:
 - a. % of employee completing end term appraisals or mid-term appraisals
 - b. % of employees with roles allocated
 - c. No. of employees for whom role closure is to be completed
 - d. Median score of employees
 - e. % of budgetary/measurable role KRAs with no targets prescribed
 - f. Grade curve based on the existing criteria and % of employees at each segment
 - g. Total number of employees in region/zone/bank
 - h. Status of Cohort workshops and pending cohorts

HR should be able to download the above reports in the form of an excel sheet with details on employees and Rep A at following levels:

- i. Branch level
 - ii. Region level
 - iii. Zone level
 - iv. Bank level
 - v. Cohort level (in-case of grade curve and median scores)
2. HR should be provided with screens for uploading various tables. A separate "Uploads" tab can be provided to this extent. Within the uploads tab, HR should be able to see following segments for uploading data in the form of excel:
 - a. Cohort groups
 - b. Cohort chair scores
 - c. KRA master
 - d. Role master
 - e. Targets master
 - f. Audit score upload
 - g. Grade curve cutoffs (can be in the form of marks or % of employees)

Please note above list is not exhaustive. Additional data files can be uploaded.

3. After selecting any of the above segments, a new screen should open that allows HR to upload data in the form of excel sheet. When a new data sheet is uploaded, the old ones should be replaced for all backend calculations or front end display. However, HR should still be able to download the old files.
4. HR should be able to download the above list in the form of a excel sheet. Also, HR should be able to sort the employees by any of the parameters listed above.

Further, a search option should be provided for HR to retrieve any particular request basis service request no. and employee id of the person raising the request. HR should be able to come back to this screen at any point of time. A separate “Service Requests” screen may be provided for HR which will display the information as stated above

5. On the home screen itself, HR should be provided with links to following modules:
 - a. Mid-term appraisal screens
 - b. End term appraisal screens
 - c. Org module
 - d. Employee recognition
 - e. Performance history
 - f. Role/KRA assignment
 - g. Role modification
 - h. Target viewing
 - i. Help center

On clicking each of the screens, HR should be able to follow the steps/screens mentioned in the respective modules.

9.10 APPLICATION ADMIN:

Application admin is a screen used for monitoring performance management system with respect to downtime, logins, peak users, updating screens etc.

Introduction

Admin section details out the process flow involved in service requests raised that require System Administrator intervention. There are five main areas where application admin’s intervention or usage of application is required:

- Availability monitoring w.r.t uptime and downtime of system
- Adoption and other stats w.r.t no. of concurrent users, peak users, average time spent per session etc
- Incident monitoring w.r.t lack of access to certain pages or data mismatch
- Service requests w.r.t. adding/deleting/modifying content on the application screen
- New user creation or Deletion of existing users

Processes involved for Service Request/incident monitoring

1. Following are examples of admin issues which may be faced by an employee:
 - a. Access to screens
 - b. Upload or download failures
 - c. Viewing screens which are not relevant to employee
 - d. Data or visual inconsistencies i.e. (data not aligning with visual representation)
 - e. Adding/modifying/deleting content from screens incl. pop-ups



Please note that the list above is not exhaustive and additional issues may be faced by user.

2. If an employee faces any issue with respect to navigation or PMS, he/she can log a service request through help center
3. On the home page of help menu, employee should be able to see three separate links
 - a. Raise service request
 - b. FAQs
 - c. See status of live and past service requests
4. On clicking "Raise Service Request", a new popup will open with following dropdown for selecting the module in which service request is being raised
 - a. Mid-term appraisal
 - b. End term appraisal
 - c. Org module
 - d. Employee recognition
 - e. Performance history
 - f. Role/KRA assignment
 - g. Role modification
 - h. Target viewing
 - i. HR admin (to be visible only for HR)
 - j. Admin
5. On choosing (j) above, a new pop up screen will open with following fields:
 - a. A drop down for selecting the area of request as mentioned in point 1 above.
 - b. A free text field where employee can elaborate the nature of his/her request
 - c. An attachment field where employee can upload any document incl. word, excel, picture, pdf
 - d. Submit button for submitting the service request
6. On clicking "submit" button, a service request number should be shown to the employee which confirms the raising of request. In parallel, a notification mail should be generated for the admin on service request.
7. On clicking the link in the notification mail, the system admin should be directed to the screen where he/she will be able to see the following information:
 - a. Name, scale, designation and id of the employee raising the request
 - b. Request category
 - c. Commentary provided by the employee
 - d. Documents uploaded by employee (system admin should be able to download and view the same)
 - e. Service request number and date of service request
 - f. Close button
 - g. A free text field for system admin to provide comments on closing the service request
8. On resolving the request, system admin can close the request as resolved. No such closure should be allowed without comments. On closure, a notification mail should be generated to the concerned employee that his/her request has been resolved and he/she can approve/reopen the closed request



9. On clicking the link in notification mail, employee will be directed to a screen where he/she will see following information:
 - a. Name, scale, designation and id of the employee raising the request
 - b. Request category
 - c. Commentary provided by the employee
 - d. Documents uploaded by employee (should be able to download and view the same)
 - e. Service request number and date of service request
 - f. Comments provided by System admin for closing the service request
 - g. Approve button
 - h. Re-open button
 - i. A free text field and attachment field (to be opened only on clicking re-open) for providing comments on re-opening the service request

Processes involved for adding/modifying/deleting user requests

1. Access to all users should be basis the entry in employee generic i.e. only those employees whose id is present in employee generic will have access to performance management system
2. This access rights should be system driven i.e. on adding a new id to the generic, an automated notification mail should be sent to the new employee regarding the user id and access should be basis Single sign on. Similarly, if an employee id is deleted from employee generic, access for that employee should be automatically terminated
3. Performance management system should be able to directly liaison with existing HRMS system for accessing the employee generic on daily basis
4. However, HR should be able to upload excel sheet for identifying cohort chairs and appellate authorities.

Employee screens

1. After initial log in, employee should be able to raise a service request as mentioned in “Process involved for Service request/incident monitoring” section
2. Employee should be able to see the information on previous service requests through Help center section and as per the processes mentioned in “Help Center” module

System admin screens

1. System admin log in should be different from normal employee log in
2. After initial log in, on the home page (preferably at the bottom half), system admin should be shown following information on service requests with broad numbers (i.e. overall requests pending, Requests re-opened and pending) on overall requests pending for resolution:
 - a. Name, scale, designation and id of the employee raising the request
 - b. Request category
 - c. Commentary provided by the employee (first 160 characters)
 - d. Documents uploaded by employee (should be able to download and view

- the same)
 - e. Service request number
 - f. Status – Pending or Re-opened
 - 3. On clicking the service request number, system admin should be able to see the full details including the commentary
 - 4. System admin can close the service request as mentioned in “process involved” section
 - 5. On the home screen, system admin should be able to see following information too:
 - a. No. of users logged in (visualization with historical trend of last one month – flexibility to change the period by selecting to and from date)
 - b. Peak users logged in over last one week – (should be able to change the period by selecting to and from date)
 - c. No. of Daily and Monthly active users – definition active should be flexible (visualization with historical trend of last one month – flexibility to change the period by selecting to and from date)
 - d. Average user time spent on the application (visualization with historical trend of last one month – flexibility to change the period by selecting to and from date)
 - e. Average no. of times an user visits the application (visualization with historical trend of last one month – flexibility to change the period by selecting to and from date)
 - 6. A separate link should be provided to System Admin to download reports on user statistics as mentioned above. On clicking the link, system admin should be directed to a new screen where he/she will be shown following reports for download:
 - a. No. of users by period (date wise by zone, region, alpha)
 - b. Employee log-in details by period (date, employee id, alpha, region ,zone, log in time, logout time)
 - c. Peak users details by period (date wise by zone, region, alpha) – peak period definition can be daily, weekly, fortnightly, monthly or any other period as the user may define. Daily peak user calculation should be on rolling basis i.e. if report run is weekly peak user report is run for period June 01 to June 30, then the peak users for June 01 should be peak users over last one week i.e. May 26 to June 01, and for June 30, peak users over June 24 to June 30.
 - d. Average time spent by an employee on application over a given period by alpha, region and zone (employee id, alpha, region, zone)
 - e. Average no. of times an user visits the application over a given period by alpha, region and zone (employee id, alpha, region, zone)
 - f. Application uptime or availability
 - g. Any other item which may be deemed as important as per SLA
 - 7. Above reports should be shown in the form of a dropdown. Below the dropdown, time period should be provided in two ways
 - a. By period (daily, weekly, fortnightly, monthly, quarterly, half yearly, yearly)
 - b. By date (to and from dates)
 - 8. On selecting both the above parameters, system admin can click submit and a visualization should first appear basis the data and system admin should have the

- ability to convert the visualization to table and download the data in the form of a excel
9. All the base and back end data (incl. historical data) for all the above reports should be stored and system admin should have the option to download the raw data dump through a separate link. The base raw data for each of the reports should be separate and shown in the form of a dropdown with option of choosing to and from date
 10. System admin should be provided with a link to provide notifications to employees on logging in application i.e. on logging in the application, a pop up will open where any information is displayed to employees in the form of a text, image or scroll.
 11. On clicking on the link, admin will be directed to a page where he will be provided following fields:
 - a. Free text field for inputting message
 - b. Upload button for uploading any attachment in the form an image
 - c. Time period during which information is to be displayed (incl. time of display)
 - d. Free text field for system admin to provide comments on approvals obtained for displaying the message
 - i. To contain upload button to allow admin to upload any approvals (doc, image, pdf, email)
 - e. Submit button
 12. On submitting the form, the form will go to a checker who can either approve or reject the same. A notification mail to this extent will go to checker for approval. On clicking the link, checker will be directed to a screen for approval or rejection. The screen shall have following information:
 - a. Message text to be displayed
 - b. Image to be displayed
 - c. Time period during which information is to be displayed (incl. time of display)
 - d. Admin comments on approvals obtained incl. documents uploaded authenticating the display
 - e. Approve or reject button
 13. On clicking reject button, a free text field should open up for the checker to provide comments on reason for rejection. On clicking approve, message text and image will be relayed on the pop-up screen on log-in during the time period over which message is authenticated to be displayed. System should automatically display the information from the given date and time and take it down on the given date and time
 14. On approval or rejection, admin will receive a notification mail that his/her request for message is approved/rejected
 15. Home page of system admin should contain a link for accessing the list of messages that are:
 - a. Currently in display
 - b. To be displayed in future
 - c. Messages pending authentication
 - d. Messages already displayedThe list should contain details on time period over which message is to be displayed, message content and service request number. Admin should be able to

sort the above basis any parameter including the time period.

16. System admin can click on any message and a new pop up should be opened with an option to modify or cancel the message notification.
 - a. On clicking Modify button, admin will be able to change the message text, image or time period over which message is displayed. Also, admin should be able to provide comments for modification and upload any supporting documents. On clicking submit after making changes, form will flow to checker for approval. Checker should be able to see the original message, time and image along with modified message, time, image and comments. Checker has the option to either approve or reject the request. As long as modified message is approved or rejected, original message will continue as it is.
 - b. On clicking cancel button, message will no longer will be displayed for the given period. A dual confirmation should be put in place highlighting to the employee that pressing cancel button will invalid the message and no message will be displayed on the given date
17. There can't be multiple messages on a single pop up, and only one pop-up notification is allowed at any point of time.

9.11 HELP CENTER:

This module is used for raising service requests and houses the FAQs sections along with meaning of the search terms, process involved, navigation help etc.

Introduction

This module details out the screens which should be displayed if an employee needs any help with any of the following:

1. Meaning of any term
2. Process involved against the search query
3. How to navigate or access various screens
4. Raise service requests in the system

An employee can either search for the term or click on various modules within the Help center module to know more about any term or process or navigation. Help center should have “search term predictability” capability and should be able to display results basis the relevance and user feedback. Content on the search term should display the meaning of search term, processes involved and how to access the screens relevant for the search term.

Employee Screens

1. After initial log in, a separate link should be provided to every employee that takes the employee to “Help” section
2. On the home page of help menu, employee should be able to see three separate links
 - a. Raise service request



- b. FAQs
- c. See live and past service requests
- 3. On clicking “Raise Service Request”, a new popup will open with following dropdown for selecting the module in which service request is being raised
 - a. Mid term appraisal
 - b. End term appraisal
 - c. Org module
 - d. Employee recognition
 - e. Performance history
 - f. Role/KRA assignment
 - g. Role modification
 - h. Target viewing
 - i. HR admin (to be visible only for HR)
 - j. Admin

For (a) to (j), employee will be directed to respective modules for raising the service requests in the appropriate screens as per the process laid out in BRDs of respective modules.

- 4. On clicking the “see past service requests”, employee will be directed to a new screen where he/she will be able to see the following information:
 - a. Service request number
 - b. Area in which service request is raised
 - c. Date of raising the service request
 - d. Status of service request – pending or resolved
 - e. Date of closure of service request
 - f. First 160 characters of the service request
 - g. Comments provided on closure of service request

On clicking service request number, a new popup will be opened in which full details of the service request will be shown including the full text of service request and attachments if any.

- 5. On clicking “FAQs”, employee will be re-directed to a new screen where employee should be able to search for any issue on which he/she requires further clarity. A “Search” field should be provided to this extent. The field should have “search-term predictability” capability (similar to Google search where on entering first few letter, search terms are suggested). On the home page of FAQ, application should display most commonly used search terms, trending search terms, most commonly used links etc.
- 6. Basis the search term, system should be capable of producing search results upto a maximum of 10 per page with most relevant (along with those which are voted to be most useful) shown at the top.
- 7. On clicking any of the result, a new pop-up should open where employee should be provided two distinct pieces of information:
 - a. Meaning of the search term and process flow involved around the query employee has raised
 - b. Path for accessing and using screens

8. A user feedback system should be put in place on the quality of search results. The feedback system will be in the form of drop down with four distinct categories of satisfaction level:

- a. Results do not match with my question
- b. Results only partially match my question
- c. Results answer my query to a large extent
- d. Results are exactly what I am looking for

Also, two free text fields should be provided for employee – one to provide Query term used, and second a free text field for providing any additional comments. All such feedback submissions should be stored in the backend for further analysis at later point of time for making the FAQ section more robust. System admin should be able to download this report through reports section with details on

- a. Search term used
- b. User feedback received
- c. User comments, if any
- d. Date of search query

Alternatively, on the home page of FAQs section, different module sections can be provided to employee where he will be able to click and deep-dive into each section for further clarity.

9.12 INTERFACE WITH OTHER SYSTEMS:

9.12.1 HRMS: Employee details such as employee ID, name, scale, location, designation, unit / department, etc.

9.12.2 DATA WAREHOUSE: All performance related numbers with respect to budgetary or measurable KRAs at individual level

Following abbreviations are used in the following section to describe each of the module mentioned above in further detail:

Abbreviation	Meaning
Rep A	Refers to reporting authority or immediate manager (L+1) of the employee
Rev A	Refers to manager's manager (L+2)
ZM	Zonal manager
DZM	Dy. zonal manager
RM	Regional manager
DRM	Dy. regional manager
YTD	Year to date



10 AUDIT

10.1.1 System should have audit feature.

10.1.2 Package should allow keeping audit on fields as is required by the bank.

10.1.3 Records should have time stamp of when last created and when last updated and by which User.

11 DATA MIGRATION FROM PRESENT SYSTEM

11.1.1 All data residing in the current running HRMS, Payroll & PMS systems of the BANK should be migrated into the newly implemented system.

11.1.2 Formats in which data is to be made available for migration should be provided to the bank that in turn will make provisions for data for porting into the new system.

11.1.3 Data integrity and Consistency to be checked thoroughly by vendors before porting into the new system.

C. Technical

- 1) The HRMS, Payroll & PMS Solution must be web based solution and should support latest versions of standard browser such as (but not limited to) Internet Explorer, Google Chrome, Mozilla, Opera etc. The bidder should clearly mention browsers and versions that are not supported by the solution.
- 2) The Solution must support mobile handset and tablet operating systems iOS (8.0 and higher) and Android (4.4 and higher) through downloadable apps. Other operating systems to be supported through downloadable apps or a web browser version
- 3) Mobile app must be part of and closely integrated with core product offering
- 4) The portal must support Hindi language on its user interface for web and mobile users, along with help content / tutorials for guiding employees on functions / searches.
- 5) The Solution should be able to track, monitor and report unsuccessful attempts at log-in and provide these details to the admin.
- 6) The Solution should be able to generate common, customizable landing page and interface for the users across different platforms such as internet, mobile app, tablet etc.
- 7) It should also have the capability to generate alerts (e-mails/SMS/ App notifications) to users, as per pre-defined rules from front-end – standard template and bank's logo need to be incorporated in such messages
- 8) The System must support user concurrency of at least 10% of the total registered users.
- 9) An authenticated session, together with its encryption protocol, should remain intact throughout the interaction with the customer. In the event of interference, the Developer will ensure controls are in place to terminate the session and reverse out the affected transactions. As an integral part of the two-factor authentication architecture, appropriate measures to minimize exposure to a middleman attack which is more commonly known as a man-in-the-middle attack



(MITMA), man-in-the browser attack or man-in-the application attack, are implemented.

- 10) The bidder must create adequate controls ensuring that, when exception or abnormal conditions occur, resulting errors do not allow users to bypass security checks or obtain core / data dumps
- 11) System should support all standard OS and databases (like Oracle, MySQL, MS-SQL)
- 12) Change in parameters and conditions should be supported through front-end (no back-end dependency)
- 13) Provision for various types of alerts such as customized campaign management, bulk messaging feature to specific mailing lists and user groups, push notifications for mobile app, alert on system downtime etc.
- 14) Solution is capable of multi-country implementation with a single instance
- 15) Application should be supported by bank's MDM
- 16) Supports addition of new fields to the existing data tables and creation of new data tables as per requirements
- 17) Solution architecture has the capability to be configured in active mode
- 18) The bidder should also support the requisite certifications, integration, and maintenance, compliance, etc. and day to day operations on 24* 7* 365 basis.
- 19) The bidder should host the on premise solution in Bank's advised premise and in Cloud in High Availability mode, along with DR and a minimum uptime time of 99.5%. Any planned downtime for maintenance/upgrade should be communicated 30 days in advance.
- 20) The bidder should provide a separate Test/ Development/ UAT environment.
- 21) The bidder must provide pre and post-implementation support for the contract period.
- 22) The Solution should support encryption and digital signature feature. The bank will provide the digital signature solution.
- 23) The Solution should follow a standard development process to ensure that it meets functional, security, performance & regulatory requirements of the Bank and the RBI.
- 24) The Solution should check/record/verify authentication of source of each transaction such as user IDs, IP address, machine address etc., which is required for audit purpose.
- 25) The bidder should comply with the Bank's IS Security policy in key concern areas relevant to the RFP. Some of the key areas include (but not limited to):
 - Responsibilities for data and application privacy and confidentiality
 - Responsibilities on system and software access control and administration
 - Custodial responsibilities for data, software, hardware and other assets of the Bank being managed by or assigned to the bidder
 - Physical Security of the facilities, wherever required to be provided by the bidder
 - Physical and logical separation from other customers of the bidder, wherever required to be provided by the bidder
 - Incident response and reporting procedures



- Password Policy of the Bank
 - Data Encryption/Protection /XBRL requirement of the Bank
- 26) The solution should offer versatile and robust transaction authorization matrix, software access controls and user rights controls – both physical and logical. The solution should support super administration for the Bank as whole as well as local administrators and user controls at different level.
 - 27) The bidder must provide application and database backup as per the requirement of the Bank. The bidder needs to provide a dump of all the data stored by the bank in the system in a user readable/manageable format.
 - 28) Supports secure login; passwords for all users should be stored in encrypted/ hashed format in database - minimum encryption strength of 128 bit for end-to-end transactions
 - 29) System should support for HTTP/SSL for secured data transfer
 - 30) Security safeguards should also be implemented to protect the information from unauthorized modification or destruction
 - 31) System security is password controlled (for operating system, database, and application) which complies with the Bank's security policy (e.g. minimum password length, no. of attempts for logout, recycle of passwords etc.)
 - 32) Session expires after a pre-defined length of time (auto log-off) and sensitive information that is passed in the cookies is encrypted. The session identifier shall be random and unique
 - 33) The solution must have the capability of batch/file uploads of the data.
 - 34) Solution supports storage of all parameters the database with ease in retrieval and display
 - 35) Supports real time / online data replication from production site to DR site and permit manual & automatic shift of the application to DR site
 - 36) Supports batch/file processing of data from external data source (e.g. DWH)
 - 37) The Solution should be able to access services through multiple channels including but not limited to SFTP, REST and XML APIs, SQL and web-services for seamlessly integrating with bank's source systems like the data warehouse (SAP Business Objects).
 - 38) The HRMS Solution must support open APIs so that the Bank's different applications can be integrated with the HRMS System. The bidder should provide API's to the bank that are compatible with its applications.
 - 39) The bidder must troubleshoot any problems occurring in the system during contract period. First-point-of-contact for all service issues (Web, Email and Telephone support) should be readily available to the bank. If the issue is not resolved in one working day, then on-site support should be provided and issue should be resolved within two working days. Escalation matrix has to be provided for escalation of issues which are not resolved within the stipulated time.
 - 40) The bidder should provide on-site comprehensive warranty for the software solution & produce documentary evidence from software OSD of having agreed to provide back-to-back warranty and technical support for its supplied products and related services on the terms agreed between the parties.
 - 41) The bidder has to ensure seamless migration of the bank's data in the application and solution after expiry of contract period, if Bank selects another bidder after



- the contract period or during the contract period due to any reason.
- 42) The HRMS and Payroll System must be capable of migrating data from existing HRMS system and existing Payroll System.
 - 43) The solution must be capable of supporting LDAP and system can be integrated with Windows Active Directory to achieve Single Sign On (SSO).
 - 44) The HRMS Solution should be capable of importing the organization and reporting structure from the legacy HRMS system
 - 45) Architecture should support online real time updates between the application & database; data integrity maintained between the application & database at all times
 - 46) System should support traditional integration
 - Bulk upload of flat files
 - API based integration
 - Message based integration
 - 47) The solution should have ability to generate various MIS reports as per regulators / statutory requirements. The bidder must arrange for necessary customizations wherever required during the contract period at no additional cost. (e.g. date range, user activity, status for which data has to be extracted)
 - 48) The HRMS, Payroll & PMS solution should have the capability to view / export / print files and reports in standard formats such as csv, xls, XML, pdf etc. with requisite security measures.
 - 49) Customization / Personalization of various screens and transactions – Design, Content, Color, Language, Logos, etc.
 - 50) The HRMS, Payroll & PMS integration testing will be followed by user acceptance testing, plan for which has to be submitted by the bidder to the Bank. The UAT includes Functional tests, Resilience tests, Benchmark Comparisons, Operational tests, Load tests etc. BOB staff/ third Party bidder designated by the Bank will carry out the functional testing. This staff / third party bidder should be trained by the bidder for this purpose. Bidder should carry out other testing like resiliency / benchmarking / load etc. bidder should submit result log for all testing to the Bank.
 - 51) The ATS support for HRMS, Payroll & PMS Solution should include the following:
 - All minor and major version upgrades during the period of contract at no extra cost.
 - Program updates, patches, fixes and critical security alerts as required.
 - Documentation updates.
 - 24*7 support for System related malfunctions as defined in SLAs and ability to log requests online
 - 52) The Application architecture should have the ability to increase the number of concurrent instances to keep the application server parameters below 70% utilization (CPU, Memory, Hard disk, etc.)
 - 53) The Database architecture should have the ability to increase the number of concurrent instances to keep the database server parameters below 70% utilization (CPU, Memory, Hard disk, etc.)
 - 54) The Solution should support database level clustering with active-passive



failover.

- 55) Interface should support exception handling (e.g. generation of log files, retries) when data transmission is unsuccessful
- 56) Should be suitable for use by ~55,000 enterprise wide users who will access and retrieve data for HRMS, Payroll & PMS solution in a network environment; solution should be scalable in the future to support larger user base with no adverse effect on performance
- 57) The Cloud subscription needs to be based on the number of users entitled to use the application.
- 58) All the patches/fixes, version upgrades of all the software components released by the Principal OEM during the contract period should be provided. The Vendor should ensure implementation of all the patches/ fixes and version upgrades in the production environment to the latest version during the contract period.

3. Training:

The Vendor shall organize for training (familiarization) to the Bank's team as follows:

- a. Five working days training to Bank's Core Team is to be imparted before UAT.
- b. Training of IT team, HR team, administrators and key users to be provided separately in different batches in Modular form. At least 5 full days training is to be given to the users for each group.
- c. Module wise Job cards to be provided (both in Hard and soft copies) to all the trainees along with accounting entry illustrations for each type of transactions, including relevant system generated transactions.
- d. Training to the IT team should cover the system administration viz
 - i. User management
 - ii. Management of server,
 - iii. Management of Operating System,
 - iv. Management of Database,
 - v. Management of Application software
 - vi. Report writing
 - vii. Security & Network management;
 - viii. Backup & Disaster Recovery Operations
 - ix. Troubleshooting etc.
- e. Training to the User Groups of around 50 engaged with various domains of Bank's operations about :
 - i. Functionality available in the Module
 - ii. Parameterization
 - iii. Auditing Techniques
 - iv. Report Generation etc.

4. Hardware Sizing and Performance Required

The Vendor has to implement HRMS, Payroll & PMS solution in hybrid model. If required for infrastructure in bank's premise, the Vendor has to provide necessary requirement of infrastructure (Servers/ OS/ Database/ Middleware etc. which are required for the system) as under:

- Data Centre (DC) - Production
- Data Centre (DC) - Test, Development and Training
- Disaster Recovery Site (DR)

The Vendor must provide requirement of optimal size of the Hardware and any additional infrastructure requirements keeping in view the current average and peak volume of transactions and to extrapolate the same for the full TCO period (i.e. 5 years). Some of the basic parameters (indicative) for sizing are given herein under.

- Number of users → 56,000
- Projected Growth per year – 15-20%
- System Uptime per month – 99.5%
- Static Page loading like login page - < 2 Seconds
- Executing search and rendering search result on application user interface - < 3 Seconds
- Viewing of report of size <1 MB – < 5 Seconds.
- Making transaction on the system report generation - < 4 Seconds

The system should be capable of keeping online data of at least 2 years. Thereafter, the system should provide purging & archival of data. The response time at server end should be always less than 3 second. During the agreement period, if at any stage, it is found that the solution provided by the Vendor is not able to give the requisite performance as per the sizing parameters (i.e. up time above 99.5% and response time < 3 second) the Vendor shall have to provide additional hardware, software without any additional cost to the Bank. The hardware proposed for the solution as part of this RFP) should not exceed 70% of CPU(s), Memory(s), Hard Disk(s) utilization levels at any given point in time during the TCO Period.

The Data replication should happen from Primary site to DR site on real time to keep them in sync.

- Recovery Time Objective (RTO) – 60 Minutes
- Recovery Point Objective (RPO) – 30 Minutes

Vendor is also required to conduct at least one DR drill in a quarter

5. Onsite Support

Onsite Support for the solution will be 24x7 and charges to be provided based on the manpower efforts in 3 shifts per day. The Bank has discretion to avail onsite support services and number of support engineers at person day cost given. The on-site support should extend to services like helpdesk, data backup, user management, database management/ maintenance, updation of data, maintaining integrity of data, loading application upgrades, technical support for ad-hoc queries, archival of data etc.

6. Helpdesk Requirement

- i. 24*7, 365 days a year, online support facility through phone, email and SMS alerts by L1, L2 and L3 onsite/remote staff with at least 6 persons from Systems integrator /vendor depending on the criticality of the issue.
- ii. Escalation process should be in place for unresolved issues.
- iii. The Vendor support staff should be well trained to effectively handle queries raised



- by the Bank customer / employees, etc
- iv. The Vendor should have ability to generate MIS reports periodically for example: volume of calls / per day, resolution % per day etc.
- v. The Vendor should have proven experience and expertise in providing 24*7, 365 days help desk support.

7. Performance Requirements:

- Average support call back time - 60 minutes
- Average Problem Response time – 240 minutes
- Number of concurrent user – at least 5,000
- Response time:
 - ✓ Static page- maximum 2 sec.
 - ✓ Form validation from back end - maximum 5 sec

8. Monitoring and Audit

- Compliance with security best practices may be monitored by periodic computer security audits / Information Security Audits performed by or on behalf of the Bank. The periodicity of these audits will be decided at the discretion of the Bank. These audits may include, but are not limited to, a review of access and authorization procedures, backup and recovery procedures, network security controls and program change controls. The Vendor must provide the Bank access to various monitoring and performance measurement systems. The Vendor has to remedy all discrepancies observed by the auditors at no additional cost to the Bank.
- For service level measurement, as defined in SLA, data recording is to be captured by the industry standard tools implemented by the Vendor. These tools should be a part of the proposed solution.

9. Functional scoring sheet: Functional scoring will be evaluated on following criteria as part of Technical evaluation

Sr. No	Type	Mandatory / Desired	RA	CU	UA	Remarks / comments
1	The Solution should support online/ real-time comprehensive and customizable management dashboard.	Mandatory				
2	The Solution should provide web content management capabilities for providing web based access to users.	Mandatory				
3	The Solution should be accessible through both web page and mobile app. It should be available for both	Mandatory				



Sr. No	Type	Mandatory / Desired	RA	CU	UA	Remarks / comments
	android and iOS based apps.					
4	The Solution should have a provision of providing restricted functionalities in internet when compared to functionalities present in intranet.	Mandatory				
5	The Solution must be able to provide capability to create new workflows and modify existing workflows.	Mandatory				
6	The Solution should support multiple levels of authorization such as access through smart card / Bio-metric authentication.	Mandatory				
7	The Solution should be able to print Bank of Baroda logo on all reports generated (whether standard or customized)	Mandatory				
8	The Solution should provide a robust MIS support by way of Dashboard with certain in-built reports. These reports would inter alia cover extraction of data for various internal, external MIS and regulatory purposes including transaction monitoring activities. The indicative list of reports that are supported off-the-shelf must be provided with technical bid. The reports should be generated for different domain such as universal, entity specific and frequency for generating these reports should be as per Bank's requirement (monthly, quarterly, annually etc). Adequate checks and balances in place to ensure people are able to access such scores only on adequate authorization from department heads	Mandatory				



Sr. No	Type	Mandatory / Desired	RA	CU	UA	Remarks / comments
9	The Solution must provide the capability of document upload and transfer both from users and back end. It is expected that the bidder clearly specifies the file types supported and the estimated bandwidth requirement for a given file size.	Mandatory				
10	The Solution must have the capability of logging successful and unsuccessful authentication and authorization event attempts.	Mandatory				
11	The Solution should have the capability to allow version control for tracking documents	Mandatory				
12	The Solution should have the capability of providing comprehensive audit trail features to monitor activity of specific programs and data files etc. The solution should also provide on-line access to audit trail information (including time/date stamp, user ID, change log).	Mandatory				
13	The Solution should also keep a track of activities executed by the Application system administrator. It should also allow for segregation of duties (e.g. segregated function between system and application administration).	Mandatory				
14	The bidder should provide details of audit trails and logs implemented for other commercial banks, along with the technical bid documents.	Mandatory				
15	The Solution should be able to provide session log files. The user should be able to analyze the information (e.g., account id,	Mandatory				



Sr. No	Type	Mandatory / Desired	RA	CU	UA	Remarks / comments
	session time etc.). The solution should provide tracking of the client's IP & Network Interface address.					
16	The Solution should be capable of providing time - based and event - based reminders and notifications.	Mandatory				
17	The Solution should be capable of displaying the appropriate reporting structure to the users (of any department or any particular employee) on demand	Mandatory				
18	The Solution must have the ability to send out emails/ SMS messages to employees on periodic basis	Mandatory				
19	The Solution must have search functionality based on parameters (e.g. employee name, unit etc.)	Mandatory				
20	The Solution should support pop-up message alerts for submission and confirmation of actions	Mandatory				
21	The Solution should support the functionality of viewing/updating/uploading/deleting universal docs such as process guidelines, etc.	Mandatory				
22	The Solution should have an inbuilt report writing tool to build new reports based on identified parameters and also schedule them at pre-set frequencies	Mandatory				
23	The Solution should allow archiving of historical reports	Mandatory				
24	The Solution should support storage and display of event history of all users and transactions	Mandatory				



Sr. No	Type	Mandatory / Desired	RA	CU	UA	Remarks / comments
25	The Solution should provide Calendar Maintenance, to do list display / maintenance, due dates monitoring, etc.	Mandatory				
26	The Solution should have standard accessibility features enabled for the disabled persons.	Mandatory				
27	The Solution should be able to handle multiple languages (especially HINDI) with facility for translation/ transliteration.	Mandatory				
28	The Solution should allow bulk upload of data into the system.	Mandatory				
29	The Solution should be able to handle multiple salary grade structure including fixed and variable pay components along with increment updation.	Mandatory				
30	The Solution should be able to handle arrear calculation on account of wage settlement/ employee transfer/ Promotion.	Mandatory				
31	The Solution should allow to configure various heads of salary from front head by authorized personnel.	Mandatory				
32	The Solution allow configuration of holiday master based on the region/state.	Mandatory				
33	The Solution should have provision of Income Tax calculation as per the rules defined in the system. It should allow employees to submit provisional as well as final investment declaration and deduct the tax accordingly.	Mandatory				
34	The Solution should be able to provide PF/NPS Statements,	Mandatory				



Sr. No	Type	Mandatory / Desired	RA	CU	UA	Remarks / comments
	Income Tax Form 16A & B, Gratuity calculation, Pension etc.					
35	The Solution should have the capability to provide user with current as well as previous months Income Tax Calculation based on the salary of that month.	Mandatory				
36	The Solution should have provision of providing Terminal Benefits as well as Full & Final Settlement to the employees on account of employee leaving the organization.	Mandatory				
37	The Solution should have Leave Management module allowing authorized personnel to configure various types of leave of employees in the system.	Mandatory				
38	The Solution should have provision of integration of office time functionality for corporate/zonal/regional offices.	Mandatory				
39	The Solution should allow configuration of all types of monthly, quarterly, annual and other periodicity claim reimbursements.	Mandatory				
40	The Solution should allow employees to submit and approve all types of claims online such as TA/DA, LFC/LTC, Overtime, Compensatory claims.	Mandatory				
41	The Solution should have provision of Holiday Home Agreement, Booking, Status, and Cancellation.	Mandatory				
42	The Solution should have provision of in built Recruitment module which can be configured	Mandatory				



Sr. No	Type	Mandatory / Desired	RA	CU	UA	Remarks / comments
	as per the requirements of any new recruitment exercise in the bank. In case of selection in recruitment exercise, the information captured during recruitment process should be made available during on-boarding process.					
43	The Solution should have provision of front end or back end updation in case of employee getting transferred or promoted.	Mandatory				
44	The Solution should be able to store the training details of individual employees and provide information and allow them to apply for current training programs with approval of their managers.	Mandatory				
45	The Solution should have in-built FAQs system for employees which can be updated by authorized persons at regular interval of time.	Mandatory				
46	The Solution should have Asset & Liability management system integrated in the system as it is required every year.	Mandatory				
47	The Solution should have in-built Grievance module which should be configurable as per the bank's requirements.	Mandatory				
48	The Solution should have provision of Whistleblower and other Compliance related features. The workflow should be configurable as per the bank's requirements.	Mandatory				
49	The standard Performance Management System should be integrated with the HRMS system and all the goal setting and self-	Mandatory				



Sr. No	Type	Mandatory / Desired	RA	CU	UA	Remarks / comments
	appraisal processes should be configurable in the system.					
50	The Solution should be capable of providing reports of all the functionalities available in the system. The solution should also allow the users to configure new reports from front end as per the requirements.	Mandatory				

Scoring methodology for functional parameters:

Feature Status	Short form	Remarks
Readily Available	RA	The feature is already supported and included in the out-of-the-box solution (3 Marks shall be allotted)
Customization	CU	Can be developed / customized and delivered along with the Solution, prior to implementation at no extra cost. (1 Mark shall be allotted)
Not supported / Unavailable	UA	This capability is neither supported nor available with this Solution. (No Mark shall be allotted)

Requirement weightage: All the features have been divided into “Mandatory” or “Desired”:

- **Mandatory:** All *Mandatory* items carry a weightage of 2 points
- **Desired:** All *Desired* items carry a weightage of 1 point

Overall score in the technical scoring sheet is calculated as follows:

Total functional score = Σ (Parameter wise Functional score_i * Requirement weightage_i)

The list above is not exhaustive and Bidders who offer additional functionalities over and above the list mentioned below can indicate the same in *Annexure 17*.

10. Technical scoring sheet: Technical scoring will be evaluated on following criteria as part of Technical evaluation

Sr No	Type	Mandatory/ Desired	RA	CU	UA	Remarks / comments
A	Application architecture					
1	The HRMS, Payroll & PMS Solution must support latest versions of standard browser such as (but not limited to) Internet Explorer, Google	Mandatory				



Sr No	Type	Mandatory/ Desired	RA	CU	UA	Remarks / comments
	Chrome, Mozilla, Opera etc. The bidder should clearly mention browsers and versions supported.					
2	The HRMS, Payroll & PMS Solution must support mobile handset and tablet operating systems iOS (8.0 and higher) and Android (4.4 and higher) through apps available from Google and Apple app stores.	Mandatory				
3	The HRMS, Payroll & PMS portal must support Hindi language on its user interface for web and mobile users, along with help content / tutorials for guiding customers on functions / searches.	Desired				
4	Mobile app must be part of and closely integrated with core product offering.	Mandatory				
5	The HRMS, Payroll & PMS Solution should be able to track, monitor and report unsuccessful attempts at log-in and provide these details to the admin.	Mandatory				
6	The HRMS, Payroll & PMS Solution should be able to generate common, customizable landing page and interface for the users across different platforms such as internet, mobile app, tablet etc.	Mandatory				
7	The HRMS, Payroll & PMS Solution should also have the capability to generate alerts (e-mails/SMS/ App notifications) to users, as per pre-defined rules from front-end – standard template and bank's logo need to be incorporated in such messages	Mandatory				
8	The HRMS, Payroll & PMS Solution must support user concurrency of at least 10% of the total registered	Mandatory				



Sr No	Type	Mandatory/ Desired	RA	CU	UA	Remarks / comments
	users.					
9	The bidder must create adequate controls ensuring that, when exception or abnormal conditions occur, resulting errors do not allow users to bypass security checks or obtain core / data dumps	Mandatory				
10	System should support all standard OS and databases (like Oracle, MySQL, MS-SQL)	Mandatory				
11	Provision for various types of alerts such as customized campaign management, bulk messaging feature to specific mailing lists and user groups, push notifications for mobile app, alert on system downtime etc.	Mandatory				
12	Solution is capable of multi-country implementation with a single instance	Mandatory				
13	Application should be supported by bank's MDM	Mandatory				
14	Supports addition of new fields to the existing data tables and creation of new data tables as per requirements	Mandatory				
15	Solution architecture has the capability to be configured in active mode	Mandatory				
16	All the patches/ fixes, version upgrades of all the software components released by the Principal OEM during the contract period should be provided. The Vendor should ensure implementation of all the patches/ fixes and version upgrades in the production environment to the latest version during the contract	Mandatory				



Sr No	Type	Mandatory/ Desired	RA	CU	UA	Remarks / comments
	period					
B	Security					
1	The bidder should also support the requisite certifications, integration, and maintenance, compliance, etc. and day to day operations on 24* 7* 365 basis.	Mandatory				
2	The bidder should host the solution at Bank's advised premise and in Cloud in High Availability mode, along with DR and a minimum uptime time of 99.5%. Any planned downtime for maintenance/ upgrade should be communicated 30 days in advance.	Mandatory				
3	The bidder should provide a separate environment other than the Production environment free of cost.	Mandatory				
4	The bidder must provide pre and post-implementation support for the contract period.	Mandatory				
5	The HRMS, Payroll & PMS Solution should support encryption and digital signature feature.	Mandatory				
6	The HRMS, Payroll & PMS Solution should follow a standard development process to ensure that it meets functional, security, performance & regulatory requirements of the Bank.	Mandatory				
7	The Solution should check/ record/ verify authentication of source of each transaction such as user IDs, IP address, machine address etc., which is required for audit purpose.	Mandatory				
8	The bidder should comply with the Bank's IS Security policy in key concern areas relevant to the RFP.	Mandatory				



Sr No	Type	Mandatory/ Desired	RA	CU	UA	Remarks / comments
	<p>Some of the key areas include (but not limited to):</p> <ul style="list-style-type: none"> - Responsibilities for data and application privacy and confidentiality - Responsibilities on system and software access control and administration - Custodial responsibilities for data, software, hardware and other assets of the Bank being managed by or assigned to the bidder - Physical Security of the facilities, wherever required to be provided by the bidder - Physical and logical separation from other customers of the bidder, wherever required to be provided by the bidder - Incident response and reporting procedures - Password Policy of the Bank - Data Encryption/ Protection/ XBRL requirement of the Bank 					
9	<p>The solution should offer versatile and robust transaction authorization matrix, software access controls and user rights controls—both physical and logical. The solution should support super administration for Bank as whole as well as local administrators and user controls at different level.</p>	Mandatory				
10	<p>The bidder must provide application and database backup as per the requirement of Bank.</p>	Mandatory				
11	<p>Supports secure login; passwords for all users should be stored in encrypted format in database - minimum encryption strength of</p>	Mandatory				



Sr No	Type	Mandatory/ Desired	RA	CU	UA	Remarks / comments
	128 bit for end-to-end transactions					
12	System should support for HTTP/SSL for secured data transfer	Mandatory				
13	Security safeguards should also be implemented to protect the information from unauthorized modification or destruction	Mandatory				
14	System security is password controlled (for operating system, database, and application) which complies with the Bank's security policy (e.g. minimum password length, no. of attempts for logout, recycle of passwords etc.)	Mandatory				
15	Session expires after a pre-defined length of time (auto log-off) and sensitive information that is passed in the cookies is encrypted. The session identifier shall be random and unique	Mandatory				
16	Procedure for external backing up of data & software (data backup and archiving)	Mandatory				
C	Database requirements and data integrity					
1	The HRMS, Payroll & PMS solution must have the capability of batch/file uploads of the data.	Mandatory				
2	The HRMS, Payroll & PMS solution must enrich / enhance each document with additional meta-data fields to ensure end-to-end audit trail and tracking.	Mandatory				
3	The solution should be able to support Disaster Recovery by replicating the data at remote locations.	Mandatory				



Sr No	Type	Mandatory/ Desired	RA	CU	UA	Remarks / comments
4	The solution should support multi-level data structures.	Mandatory				
5	Solution should support storage of all parameters in the database with ease in retrieval and display	Mandatory				
6	Ability to implement SAN's for data storage in the architecture	Desired				
7	Supports real time / online data replication from production site to DR site and permit manual & automatic shift of the application to DR site	Mandatory				
8	Supports batch/file processing of data from external data source (e.g. DWH)	Mandatory				
D	Integration and interfacing with other applications					
1	The HRMS, Payroll & PMS solution should be able to access services through multiple channels including but not limited to SFTP, REST and XML APIs, SQL and web-services for seamlessly integrating with bank's source systems like the data warehouse (SAP Business Objects).	Mandatory				
2	The HRMS Solution must support open APIs so that the Bank's different applications can be integrated with the HRMS System. The bidder should provide API's to the bank that are compatible with its applications.	Mandatory				
3	The bidder has to ensure seamless migration of the bank's data in the application and solution after expiry of contract period, if Bank selects another bidder after the contract period or during the contract period due to any reason.	Mandatory				



Sr No	Type	Mandatory/ Desired	RA	CU	UA	Remarks / comments
4	The HRMS and Payroll System must be capable of migrating data from existing HRMS system and existing Payroll System.	Mandatory				
5	The solution must be capable of supporting LDAP and system can be integrated with Windows Active Directory to achieve Single Sign On (SSO).	Mandatory				
6	The HRMS Solution should be capable of importing the organization and reporting structure from the legacy HRMS system	Mandatory				
7	Architecture should support online real time updates between the application & database; data integrity maintained between the application & database at all times	Mandatory				
8	System should support traditional integration a) bulk upload of flat files b) API based integration c) message based integration	Mandatory				
9	PMS System should be capable of importing the organization and employee data from the legacy HRMS system as well as performance and target data form data warehouse	Mandatory				
10	The PMS Solution must support open APIs so that the Bank's different applications can be integrated with the PMS System. The bidder should provide API's to the bank that are compatible with its applications.	Mandatory				
E	Reporting					



Sr No	Type	Mandatory/ Desired	RA	CU	UA	Remarks / comments
1	The solution should have ability to generate various MIS reports as per regulators/ statutory requirements. The bidder must arrange for necessary customizations wherever required during the contract period at no additional cost. (e.g. date range, user activity, status for which data has to be extracted)	Mandatory				
2	The HRMS, Payroll & PMS solution should have the capability to view / export / print files and reports in standard formats such as csv, xls, XML, pdf etc. with requisite security measures.	Mandatory				
3	Customization / Personalization of various screens and transactions – Design, Content, Color, Language, Logos, etc.	Mandatory				
F	Load and Performance					
1	The HRMS, Payroll & PMS integration testing will be followed by user acceptance testing, plan for which has to be submitted by the bidder to the Bank. The UAT includes Functional tests, Resilience tests, Benchmark Comparisons, Operational tests, Load tests etc. BOB staff/ third Party bidder designated by the Bank will carry out the functional testing. This staff / third party bidder trained by the bidder for this purpose. Bidder should carry out other testing like resiliency / benchmarking / load etc. bidder should submit result log for all testing to the Bank.	Mandatory				



Sr No	Type	Mandatory/ Desired	RA	CU	UA	Remarks / comments
2	The ATS support for HRMS, Payroll & PMS should include the following: - All minor and major version upgrades during the period of contract at no extra cost. - Program updates, patches, fixes and critical security alerts as required. -Documentation updates. - 24*7 support for system related malfunctions as defined in SLAs and ability to log requests online	Mandatory				
3	The Application architecture should have the ability to increase the number of concurrent instances to keep the application server parameters below 70% utilization (CPU, Memory, Hard disk, etc.)	Mandatory				
4	The Database architecture should have the ability to increase the number of concurrent instances to keep the database server parameters below 70% utilization (CPU, Memory, Hard disk, etc.)	Mandatory				
5	The HRMS, Payroll & PMS solution should support database level clustering with active-passive failover.	Mandatory				
6	Interface should support exception handling (e.g. generation of log files, retries) when data transmission is unsuccessful	Mandatory				
7	Should be suitable for use by 56,000 enterprise wide users who will access and retrieve data for HRMS, Payroll & PMS solution in a network environment; solution should be scalable in the future to support larger user base with no adverse effect on performance	Mandatory				



Sr No	Type	Mandatory/ Desired	RA	CU	UA	Remarks / comments
8	All the patches/fixes, version upgrades of all the software components released by the Principal OEM during the contract period should be provided. The Vendor should ensure implementation of all the patches/fixes and version upgrades in the production environment to the latest version during the contract period.	Mandatory				

Scoring methodology for technical parameters:

Feature Status	Short form	Remarks
Readily Available	RA	The feature is already supported and included in the out-of-the-box solution (3 Marks shall be allotted)
Customization	CU	Can be developed / customized and delivered along with the Solution, prior to implementation at no extra cost. (1 Mark shall be allotted)
Not supported / Unavailable	UA	This capability is neither supported nor available with this Solution. (No Mark shall be allotted)

Requirement weightage: All the features have been divided into “Mandatory” or “Desired”:

- **Mandatory:** All *Mandatory* items carry a weightage of 2 points
- **Desired:** All *desired* items carry a weightage of 1 point

Overall score in the technical scoring sheet is calculated as follows:

Total technical score = Σ (Parameter wise technical score_i * Requirement weightage_i)

The list above is not exhaustive and Bidders who offer additional technical features over and above the list mentioned below can indicate the same in *Annexure 17*.

11. Product Presentation and Demonstration Criteria: Major criteria for demonstration of the solution are as per follows (but not limited to):

- Front-end portal and user interface
- Mobile app for HRMS, Payroll, PMS application
- HRMS – Personal Information, Organization Setup, Attendance Information
- Payroll – Payroll Management, Leave Management, Claim Benefits
- Performance Management System – Performance dashboards, Role assignment and KRA allocation
- Reporting and analytics for all modules



- g) Event based SMS/MIS/Alerts
- h) HR and Payroll administration portal

Please Note – During Demonstration if any of the required features are not demonstrated but the same feature has been mentioned as “Readily Available (RA)” as part of Technical Scoring Sheet then the same shall be changed to “No Marks (Not Supported / Unavailable)” in the Functional and Technical Scoring Sheet

Annexure 11 - Service Levels

The Vendor understands the largeness of this Project and that it would require tremendous commitment of financial and technical resources for the same, for the tenure of Contract under this RFP. The Vendor therefore agrees and undertake that an exit resulting due to expiry or termination of Contract under this RFP or for any reason whatsoever would be a slow process over a period of six (6) months, after the completion of the notice period, and only after completion of the Vendors obligations under a reverse transition mechanism. During this period of Reverse Transition, the Vendor shall continue to provide the Deliverables and the Services in accordance with the contract under this RFP and shall maintain the agreed Service levels. The Bank shall make payment for these services as per terms.

The Bank expects that the successful Vendor to adhere to the following minimum Service Levels:

- Any fault/ issue/ defect failure intimated by Bank through any mode of communication like call/e-mail/fax etc. are to be acted upon, so as to adhere to the service levels. Business/ Service Downtime and Deterioration shall be the key considerations for determining “Penalties” that would be levied on the Successful Vendor.
- The Vendor should have 24X7 monitoring, escalation and resolution infrastructure.
- Time bound problem addressing team (onsite/offsite) for the complete contract period.
- Vendor to arrange for updation required in the system to meet the changes suggested by RBI/ Govt. of India/ regulatory authorities towards compliance as part of ATS at no extra cost to bank for the entire contract period. Any delay in meeting the timelines would result in penalty.

Vendor will have to guarantee a minimum uptime of 99.5%, calculated on a monthly basis. Application (As a whole / any module of the application) availability will be 99.5% on 24x7x365. The penalty will be calculated as per the details given below.

Uptime percentage - 100% less Downtime Percentage

Downtime percentage - Unavailable Time divided by Total Available Time, calculated on a monthly basis.

Total Available Time – 24hrsper day for seven days a week excluding planned downtime

Unavailable Time - Time involved while the solution is inoperative or operates inconsistently or erratically.

The proposed solution should provide 99.5% uptime on monthly basis. The performance and uptime review will be done by Bank monthly and in case of downtime/downgraded performance, a penalty will be charged by the Bank as per below mentioned table:

Uptime Percentage	Penalty Details
A >= 99.5%	No Penalty
99.5% =< A <99%	2% of cost of monthly ATS charges
99% =< A <= 98.5%	5% of cost of monthly ATS charges



Uptime Percentage	Penalty Details
A < 98.5%	Penalty at an incremental rate of 1% (in addition to a base of 5%) of cost of monthly ATS charges for every 0.1% lower than the stipulated uptime

The above mentioned table is applicable to all the products/features which will be offered to the Bank in response to this RFP.

The uptime percentage would be calculated on monthly basis and the calculated amount would be adjusted from every subsequent quarter payment. The SLA charges will be subject to an overall cap of 10% of the Monthly ATS Charges and thereafter, Bank has the discretion to cancel the contract. If Vendor materially fails to meet an uptime of 99.50% for three (3) consecutive months, the Bank may have the right to terminate the contract. In case if there is no pending invoices to be paid by the Bank to the vendor, the vendor has to submit a pay order / cheque payable at Mumbai in favour of Bank of Baroda for the same within 15 days from the notice period from the Bank.

Availability Service Level Default

- Availability Service Level will be measured on a monthly basis.
- A Service Level Default will occur when the vendor fails to meet Minimum uptime (99.5%), as measured on a monthly basis.

Bidder shall determine the severity levels based on the criteria mentioned below:

Severity Level	Number of users impacted	Effective Downtime
Severity 1	Any problem where > 20% of the users of the application are affected	100%
Severity 2	Any problem <= 20% of the users and > 10% of the users of the applications are affected	90%
Severity 3	Any problem where <= 10% of the users of the applications are affected	80%

SLA Penalty Calculation:

E.g. - There is an incident which occurs under the Severity Level 2 for which the downtime is for 5 hours in a month. Therefore the effective downtime for the month would be:

5 hours x 90% = 4.5 hours

Therefore, the downtime of 4.5 hours would be considered due to this incident while computing the availability of the application.



Annexure 12 -Performance Guarantee

BANK GUARANTEE

(FORMAT OF PERFORMANCE BANK GUARANTEE)

To

The General Manager (CTO & Head- Projects & CRM)
Bank of Baroda
Baroda Sun Tower
Bandra Kurla Complex
Bandra (E), Mumbai 400 051

WHEREAS M/S (Name of Vendor) a Company registered under the Indian Companies Act, 1956 and having its Registered Office at (Please provide complete address) (hereinafter referred to as "Vendor") was awarded a contract by Bank of Baroda (BOB) vide their Purchase Order no. dated (hereinafter referred to as "PO") for

AND WHEREAS, in terms of the conditions as stipulated in the PO and the Request for Proposal document No. Dated for (hereinafter referred to as "RFP"), the vendor is required to furnish a Performance Bank Guarantee issued by a Public Sector Bank in India in your favour for Rs...../- towards due performance of the contract in accordance with the specifications, terms and conditions of the purchase order and RFP document (which guarantee is hereinafter called as "BANK GUARANTEE").

AND WHEREAS the Vendor has approached us for providing the BANK GUARANTEE.

AND WHEREAS at the request of the Vendor, WE,, a body corporate in terms of the Banking Companies Acquisition and Transfer of Undertakings Act, 1970/1980 having it's Office at and a branch interaliaat..... India have agreed to issue the BANK GUARANTEE.

THEREFORE, WE, (name of Bank and it's address)through our local office at India furnish you the BANK GUARANTEE in manner hereinafter contained and agree with you as follows:

1. We do hereby expressly, irrevocably and unconditionally undertake to pay the amounts due and payable under this Guarantee without any demur, merely on demand from you and undertake to indemnify you and keep you indemnified from time to time and at all times to the extent of Rs.-(Rupees

..... only) against any loss or damage caused to or suffered by or that may be caused to or suffered by you on account of any breach or breaches on the part of the Vendor of any of the terms and conditions contained in the PO and RFP and in the event of the Vendor committing default or defaults in carrying out any of the work or discharging any obligation under the PO or RFP document or otherwise in the observance and performance of any of the terms and conditions relating thereto in accordance with the true intent and meaning thereof, we shall forthwith on demand pay to you such sum or sums not exceeding the sum of Rs./-(Rupees only) as may be claimed by you on account of breach on the part of the Vendor of their obligations or default in terms of the PO and RFP.

2. Notwithstanding anything to the contrary contained herein or elsewhere, we agree that your decision as to whether the vendor has committed any such breach/ default or defaults and the amount or amounts to which you are entitled by reasons thereof will be binding on us and we shall not be entitled to ask you to establish your claim or claims under Bank Guarantee, but will pay the same forthwith on your demand without any protest or demur. Any such demand made by Bank of Baroda shall be conclusive as regards the amount due and payable by us to you.
3. This Bank Guarantee shall continue and hold good until it is released by you on the application by the Vendor after expiry of the relative guarantee period provided always that the guarantee shall in no event remain in force after (date) without prejudice to your claim or claims arisen and demanded from or otherwise notified to us in writing before the expiry of the said date which will be enforceable against us notwithstanding that the same is or are enforced after the said date.
4. You will have the fullest liberty without our consent and without affecting our liabilities under this Bank Guarantee from time to time to vary any of the terms and conditions of the PO and RFP or extend the time of performance of the contract or to postpone for any time or from time to time any of your rights or powers against the vendor and either to enforce or forbear to enforce any of the terms and conditions of the said PO and RFP and we shall not be released from our liability under Bank Guarantee by exercise of your liberty with reference to matters aforesaid or by reason of any time being given to the vendor or any other forbearance, act or omission on your part or any indulgence by you to the vendor or any other act, matter or things whatsoever which under law relating to sureties, would but for the provisions hereof have the effect of so releasing us from our liability hereunder provided always that nothing herein contained will enlarge our liability hereunder beyond the limit of Rs./-(Rupees..... only) as aforesaid or extend the period of the guarantee beyond the said (date) unless expressly agreed to by us in writing.
5. The Bank Guarantee shall not in any way be affected by your taking or giving up any securities from the vendor or any other person, firm or company on its behalf or by the winding up, dissolution, insolvency or death as the case may be of the vendor.
6. In order to give full effect to the guarantee herein contained, you shall be entitled to act as if we were your principal debtors in respect of all your claims against the vendor hereby guaranteed by us as aforesaid and we hereby expressly waive all our rights of suretyship and other rights, if any, which are in any way inconsistent with any of the provisions of



Bank Guarantee.

7. Subject to the maximum limit of our liability as aforesaid, Bank Guarantee will cover all your claim or claims against the vendor from time to time arising out of or in relation to the PO and RFP and in respect of which your claim in writing is lodged on us before expiry of Bank Guarantee.
8. Any notice by way of demand or otherwise hereunder may be sent by special courier, fax or registered post to our local address as aforesaid and if sent accordingly it shall be deemed to have been given when the same has been posted.
9. The Bank Guarantee and the powers and provisions herein contained are in addition to and not by way of limitation of or substitution for any other guarantee or guarantees hereto before given to you by us (whether jointly with others or alone) and now existing uncanceled and this Bank Guarantee is not intended to and shall not revoke or limit such guarantee or guarantees.
10. The Bank Guarantee shall not be affected by any change in the constitution of the vendor or us nor shall it be affected by any change in your constitution or by any amalgamation or absorption thereof or therewith but will enure to the benefit of and be available to and be enforceable by the absorbing or amalgamated company or concern.
11. The Bank Guarantee shall come into force from the date of its execution and shall not be revoked by us any time during its currency without your previous consent in writing.
12. We further agree and undertake to pay you the amount demanded by you in writing irrespective of any dispute or controversy between you and the vendor in any suit or proceeding pending before any court or Tribunal relating thereto, our liability under this present being absolute and unequivocal. The payments so made by us shall be a valid discharge of our liability for payment here under and the vendor shall have no claim against us for making such payment.
13. Notwithstanding anything contained herein above;
 - a) our liability under this Guarantee shall not exceed Rs./- (Rupeesonly)
 - b) this Bank Guarantee shall be valid and remain in force upto and including the date and
 - c) we are liable to pay the guaranteed amount or any part thereof under this Bank Guarantee only and only if you serve upon us a written claim or demand on or before the expiry of this guarantee.
14. We have the power to issue this Bank Guarantee in your favour under the Memorandum and Articles of Association of our Bank and the undersigned has full power to execute this Bank Guarantee under the Power of Attorney issued by the Bank.

Dated this the day of, 20.....

For and on behalf of

Branch Manager
Seal and Address



Annexure 13-Bank Guarantee for early release of retention money

BANK GUARANTEE (FORMAT OF BANK GUARANTEE)

To

The CTO & Head- Projects & CRM
Bank of Baroda
Baroda Sun Tower
Bandra Kurla Complex
Bandra (E), Mumbai 400 051

Dear Sir,

WHEREAS (Name of Vendor) a Company registered under the Indian Companies Act, 1956 and having its Registered Office at, (Please provide complete address) (hereinafter referred to as "Vendor") was awarded a contract by Bank of Baroda (BOB) vide their Purchase Order no. dated (hereinafter referred to as "PO") for

<details of equipment that supplied to be filled in table>

and it has been agreed that a payment of Rs./- (Rupees only) will be made to the vendor representing balance 10% of the consideration amount against the security of a Bank Guarantee from a Scheduled Commercial Bank.

2. Now this deed of guarantee witnesseth that in consideration of BOB agreeing to release a sum of Rs./- (Rupees only) representing balance 10% of the consideration amount payable to the vendor in terms of, the said agreement, we (Bank) having our head office at and amongst other places, a branch at (hereinafter referred to as the guarantor) do hereby expressly, irrevocably and unreservedly agree and undertake that :

a) In the event of vendor committing breach of any of the undertakings or committing default in fulfilling any obligation arising out of said agreement, we (bank) shall on demand, pay BOB without any demur Rs./- (Rupees only) and notwithstanding any right the vendor may have against BOB or any disputes raised by the vendor or any suit or proceedings pending in any competent Court of Law in India or otherwise or before any arbitrator, and BOB's written



demand shall be conclusive evidence to us that such amount is payable by us under the said contract and shall be binding in all respects on the Guarantor.

3. The Guarantor shall not be discharged or released from the aforesaid undertaking and guarantee by any agreement, variations made between BOB and the vendor, indulgence shown to the vendor by BOB, with or without the consent and knowledge of the Guarantor or by any alterations in the obligations of the vendor by any forbearance whether as to payment, time performance or otherwise.

4. (a) This guarantee shall remain valid until (date which is 3 months after expiry of warranty period), or until discharged by BOB in writing.

(b) This guarantee shall be a continuing guarantee and shall not be revocable except with the previous written consent of BOB and save as aforesaid it will be in force until the vendor complies with its obligations hereunder.

(c) This Guarantee shall not be affected by any change in the constitution of the vendor by absorption with any other body or corporation or dissolution or otherwise and this guarantee will be available to or enforceable against such body or corporation.

5. In order to give effect to this guarantee, BOB will be entitled to act as if the guarantor were the principal debtor and the guarantor hereby waives all and any of its rights of suretyship.

6. This guarantee shall continue to be in force notwithstanding the discharge of the vendor by operation of law and shall cease only on payment of the full amount by the guarantor to BOB of the amount hereby secured.

7. This Guarantee shall be in addition to and not in substitution for any other guarantee or security for the vendor given or to be given to BOB in respect of the said contract.

8. Any notice by way of request and demand or otherwise hereunder may be sent by post or any other mode of communication to the guarantor's address as aforesaid, and if sent by post, it shall be deemed to have been given at the time when it would be delivered in due course by post and in proving such notice when given by post it shall be sufficient to prove that the envelope containing the notice was posted and a certificate signed by an officer of BOB that the envelope was so posted shall be conclusive.

9. These presents shall be governed by and construed in accordance with Indian Law. Notwithstanding anything contained herein:

a) Our liability under this Bank Guarantee shall not exceed Rs./- (Rupees only)

b) This Bank Guarantee shall be valid up to (date which is 3 months after expiry of warranty period) and

c) We are liable to pay the guaranteed amount or any part thereof under this Bank Guarantee only and only if you serve upon us a written claim or demand on or before _____ (three months after the date of expiry of the warranty).

d) The guarantor has under its constitution powers to give this guarantee and Shri. (signatories) Officials / Managers of the Bank who has/have signed this guarantee has/have powers to do so.



Dated this day of..... 201 at

For and on behalf of..... (Bank).

Authorised Signatory in favour of the Bank

Designation

Annexure 14 – Commercial Bid Format

S. No	Particular	OTC (One Time Cost)	Year 1 AMT	Year 2 AMT	Year 3 AMT	Year 4 AMT	Year 5 AMT	Total AMT	SAC /HSN No.	GST (%)	GST AMT
[A] HRMS Solution											
Mandatory Component											
1	Subscription Cost for existing employee (55,000 Employees)*	X	0.00	0.00	0.00	0.00	0.00	0.00	000	0.00	0.00
2	Implementation Cost	0.00	X	X	X	X	X	0.00	000	0.00	0.00
3	Any other Charges***	0.00	0.00	0.00	0.00	0.00	0.00	0.00	000	0.00	0.00
Optional Components											
4	Subscription Cost for ex-Employee (35,000 Employees)**	X	0.00	0.00	0.00	0.00	0.00	0.00	000	0.00	0.00
[A] Total for HRMS Solution								0.00			

S. No	Particular	OTC (One Time Cost)	Year 1 AMT	Year 2 AMT	Year 3 AMT	Year 4 AMT	Year 5 AMT	Total AMT	SAC /HSN No.	GST (%)	GST AMT
[B] Payroll Solution											
Mandatory Component											
1	Subscription Cost for existing employee (55,000 Employees)*	X	0.00	0.00	0.00	0.00	0.00	0.00	000	0.00	0.00
2	Implementation Cost	0.00	X	X	X	X	X	0.00	000	0.00	0.00

3	Any other Charges***	0.00	0.00	0.00	0.00	0.00	0.00	0.00	000	0.00	0.00
Optional Components											
4	Subscription Cost for ex-Employee (35,000 Employees)**	X	0.00	0.00	0.00	0.00	0.00	0.00	000	0.00	0.00
[B] Total for Payroll Solution									0.00		

S. No	Particular	OTC (One Time Cost)	Year 1 AMT	Year 2 AMT	Year 3 AMT	Year 4 AMT	Year 5 AMT	Total AMT	SAC /HSN No.	GST (%)	GST AMT
[C] PMS Solution (Optional Solution) ****											
Initially Deployment Component											
1	Subscription Cost for existing employee (25,000 Employees)*	X	0.00	0.00	0.00	0.00	0.00	0.00	000	0.00	0.00
2	Implementation Cost	0.00	X	X	X	X	X	0.00	000	0.00	0.00
3	Any other Charges***	0.00	0.00	0.00	0.00	0.00	0.00	0.00	000	0.00	0.00
[C] Total for PMS Solution									0.00		

S. No	Particular	OTC (One Time Cost)	Year 1 AMT	Year 2 AMT	Year 3 AMT	Year 4 AMT	Year 5 AMT	Total AMT	SAC /HSN No.	GST (%)	GST AMT
[D] Onsite Support Charges (Optional Service) *****											
1	Onsite Support Charges (2 person day (2 shift x 1 person) x 365)	X	0.00	0.00	0.00	0.00	0.00	0.00	000	0.00	0.00
[D] Onsite Support Charges									0.00		

Total Cost of Ownership of all three solutions i.e. HRMS, Payroll PMS Solution [A]+[B]+[C]+[D]	0.00			
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Note

- a) For each of the above items provided the vendor is required to provide the cost for every line item where the vendor has considered the cost in BOM.
- b) The vendor needs to clearly indicate if there are any recurring costs included in the above bid and quantify the same. In the absence of this, the vendor would need to provide the same without any charge. Vendor should make no changes to the quantity.
- c) If the cost for any line item is indicated as zero then it will be assumed by the Bank that the said item is provided to the Bank without any cost.
- d) All Deliverables to be supplied as per RFP requirements provided in the tender
- e) The Service Charges need to include all services and other requirement as mentioned in the RFP
- f) The vendor has to make sure all the arithmetical calculations are accurate. Bank will not be held responsible for any incorrect calculations however for the purpose of calculation Bank will take the corrected figures / cost
- g) All prices should be in Indian Rupee (INR) only. Bank will deduct applicable TDS, if any, as per the law of the land
- h) The prices quoted by the bidder shall be all inclusive, that is, inclusive of all taxes, duties, levies etc. except Goods and services Tax which will be paid extra.
- i) * Bank has a plan to deploy HRMS & Payroll Solution for its all existing employees (~55,000 employees). Hence the vendor as part of the commercial bid submission needs to provide Annual Subscription Cost for 55,000 users (The quoted prices should be valid for a period of 5 years from the date of placing purchase order). The same cost will be considered for TCO calculation purpose. However Bank have discretion to place order for the differed quantity as per the requirement. After initial deployment Bank at it's discretion will submit requests for addition / decrease in number of user subscription as per the requirements reviewed every year. These requests will be in slabs of 50 user subscriptions. The cost of proportionate increase / decrease will be as per as per the Annual Subscription Cost for existing employee quoted by the bidder for that year. (e.g. In case Bank requires to deploy HRMS / Payroll System for additional 50 No's of existing employees in 2nd Year then the additional cost to be considered for year 2 will be Annual Subscription Cost for existing employees provided by the bidder in year 2 x 50 divided by 55,000).
- j) ** Bank desire to deploy HRMS & Payroll Solution for its ex-employees (~35,000 employees) which will have reduced functionalities

than the existing employee subscription. Hence the vendor as part of the commercial bid submission needs to provide annual subscription cost for 35,000 ex-employee users with reduced functionalities (The quoted prices should be valid for a period of 5 years from the date of placing purchase order). The same cost will be considered for TCO calculation purpose. However this line item is optional and Bank have discretion to place order for the ex employee subscription as per the requirement. After initial deployment Bank at it's discretion will submit requests for addition / decrease in number of user subscription as per the requirements reviewed every year. These requests will be in slabs of 50 user subscriptions. The cost of proportionate increase / decrease will be as per as per the annual subscription cost for ex-employees quoted by the bidder for that year. (e.g. In case Bank requires to deploy HRMS / Payroll System for additional 50 No's of ex-employees in 2nd Year then the additional cost to be considered for year 2 will be Annual Subscription Cost for ex-employees provided by the bidder in year 2 x 50 divided by 35,000).

- k) *** Details to be provided for any commercial provided against "Any Other Charges
- l) **** The complete Performance Management System is optional component, which Bank may avail during any time of the contract period as per Bank's requirement (The quoted prices should be valid for a period of 5 years from the date of placing purchase order). Bank have plan to deploy PMS system for all its officers (~25,000 employees) in its domestic locations. Hence the vendor as part of the commercial bid submission needs to provide annual subscription cost for 25,000 users. After initial deployment Bank at its discretion will submit requests for addition / decrease in number of user subscriptions as per the requirements reviewed every year. These requests will be in slabs of 50 user subscriptions. The cost of proportionate increase / decrease will be as per the annual subscription cost quoted by the bidder for that year. (e.g. In case Bank requires to deploy Performance Management System for additional 50 No's user in 2nd year then the additional cost to be considered for year 2 will be Annual Subscription Cost for PMS provided by the bidder in year 2 x 50 divided by 25,000).
- m)***** Onsite Support for the solution will be from 7AM to 11PM and charges to be provided based on the manpower efforts in 2 shifts per day. The Bank has discretion to avail onsite support services and number of support engineers at person day cost given. However, for the TCO purpose 2 person day (2 shift x 1 person) x 365 for each year will be considered. (e.g. In case Bank requires only one person then the cost considered for that person will be Onsite Support Cost provided by the bidder in their commercial divided by 2).

Authorized Signatory

Name:

Designation:

Vendor's Corporate Name

Annexure 15 – Masked Commercial Bid Format

S. No	Particular	OTC (One Time Cost)	Year 1 AMT	Year 2 AMT	Year 3 AMT	Year 4 AMT	Year 5 AMT	Total AMT	SAC /HSN No.	GST (%)	GST AMT
[A] HRMS Solution											
Mandatory Component											
1	Subscription Cost for existing employee (55,000 Employees)*	X	0.00	0.00	0.00	0.00	0.00	0.00	000	0.00	0.00
2	Implementation Cost	0.00	X	X	X	X	X	0.00	000	0.00	0.00
3	Any other Charges***	0.00	0.00	0.00	0.00	0.00	0.00	0.00	000	0.00	0.00
Optional Components											
4	Subscription Cost for ex-Employee (35,000 Employees)**	X	0.00	0.00	0.00	0.00	0.00	0.00	000	0.00	0.00
[A] Total for HRMS Solution								0.00			

S. No	Particular	OTC (One Time Cost)	Year 1 AMT	Year 2 AMT	Year 3 AMT	Year 4 AMT	Year 5 AMT	Total AMT	SAC /HSN No.	GST (%)	GST AMT
[B] Payroll Solution											
Mandatory Component											
1	Subscription Cost for existing employee (55,000 Employees)*	X	0.00	0.00	0.00	0.00	0.00	0.00	000	0.00	0.00
2	Implementation Cost	0.00	X	X	X	X	X	0.00	000	0.00	0.00

Request for Proposal for Supply, Implementation & Maintenance of HRMS, PMS & Payroll Solution

3	Any other Charges***	0.00	0.00	0.00	0.00	0.00	0.00	0.00	000	0.00	0.00
Optional Components											
4	Subscription Cost for ex-Employee (35,000 Employees)**	X	0.00	0.00	0.00	0.00	0.00	0.00	000	0.00	0.00
[B] Total for Payroll Solution									0.00		

S. No	Particular	OTC (One Time Cost)	Year 1 AMT	Year 2 AMT	Year 3 AMT	Year 4 AMT	Year 5 AMT	Total AMT	SAC /HSN No.	GST (%)	GST AMT
[C] PMS Solution (Optional Solution) ****											
Initially Deployment Component											
1	Subscription Cost for existing employee (25,000 Employees)*	X	0.00	0.00	0.00	0.00	0.00	0.00	000	0.00	0.00
2	Implementation Cost	0.00	X	X	X	X	X	0.00	000	0.00	0.00
3	Any other Charges***	0.00	0.00	0.00	0.00	0.00	0.00	0.00	000	0.00	0.00
[C] Total for PMS Solution									0.00		

S. No	Particular	OTC (One Time Cost)	Year 1 AMT	Year 2 AMT	Year 3 AMT	Year 4 AMT	Year 5 AMT	Total AMT	SAC /HSN No.	GST (%)	GST AMT
[D] Onsite Support Charges (Optional Service) *****											
1	Onsite Support Charges (2 person day (2 shift x 1 person) x 365)	X	0.00	0.00	0.00	0.00	0.00	0.00	000	0.00	0.00
[D] Onsite Support Charges									0.00		

Total Cost of Ownership of all three solutions i.e. HRMS, Payroll PMS Solution [A]+[B]+[C]+[D]	0.00			
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Note

- n) For each of the above items provided the vendor is required to provide the cost for every line item where the vendor has considered the cost in BOM.
- o) The vendor needs to clearly indicate if there are any recurring costs included in the above bid and quantify the same. In the absence of this, the vendor would need to provide the same without any charge. Vendor should make no changes to the quantity.
- p) If the cost for any line item is indicated as zero then it will be assumed by the Bank that the said item is provided to the Bank without any cost.
- q) All Deliverables to be supplied as per RFP requirements provided in the tender
- r) The Service Charges need to include all services and other requirement as mentioned in the RFP
- s) The vendor has to make sure all the arithmetical calculations are accurate. Bank will not be held responsible for any incorrect calculations however for the purpose of calculation Bank will take the corrected figures / cost
- t) All prices should be in Indian Rupee (INR) only. Bank will deduct applicable TDS, if any, as per the law of the land
- u) The prices quoted by the bidder shall be all inclusive, that is, inclusive of all taxes, duties, levies etc. except Goods and services Tax which will be paid extra.
- v) * Bank has a plan to deploy HRMS & Payroll Solution for its all existing employees (~55,000 employees). Hence the vendor as part of the commercial bid submission needs to provide Annual Subscription Cost for 55,000 users (The quoted prices should be valid for a period of 5 years from the date of placing purchase order). The same cost will be considered for TCO calculation purpose. However Bank have discretion to place order for the differed quantity as per the requirement. After initial deployment Bank at it's discretion will submit requests for addition / decrease in number of user subscription as per the requirements reviewed every year. These requests will be in slabs of 50 user subscriptions. The cost of proportionate increase / decrease will be as per as per the Annual Subscription Cost for existing employee quoted by the bidder for that year. (e.g. In case Bank requires to deploy HRMS / Payroll System for additional 50 No's of existing employees in 2nd Year then the additional cost to be considered for year 2 will be Annual Subscription Cost for existing employees provided by the bidder in year 2 x 50 divided by 55,000).
- w)** Bank desire to deploy HRMS & Payroll Solution for its ex-employees (~35,000 employees) which will have reduced functionalities

than the existing employee subscription. Hence the vendor as part of the commercial bid submission needs to provide annual subscription cost for 35,000 ex-employee users with reduced functionalities (The quoted prices should be valid for a period of 5 years from the date of placing purchase order). The same cost will be considered for TCO calculation purpose. However this line item is optional and Bank have discretion to place order for the ex-employee subscription as per the requirement. After initial deployment Bank at it's discretion will submit requests for addition / decrease in number of user subscription as per the requirements reviewed every year. These requests will be in slabs of 50 user subscriptions. The cost of proportionate increase / decrease will be as per as per the annual subscription cost for ex-employees quoted by the bidder for that year. (e.g. In case Bank requires to deploy HRMS / Payroll System for additional 50 No's of ex-employees in 2nd Year then the additional cost to be considered for year 2 will be Annual Subscription Cost for ex-employees provided by the bidder in year 2 x 50 divided by 35,000).

- x) *** Details to be provided for any commercial provided against "Any Other Charges
- y) **** The complete Performance Management System is optional component, which Bank may avail during any time of the contract period as per Bank's requirement (The quoted prices should be valid for a period of 5 years from the date of placing purchase order). Bank have plan to deploy PMS system for all its officers (~25,000 employees) in its domestic locations. Hence the vendor as part of the commercial bid submission needs to provide annual subscription cost for 25,000 users. After initial deployment Bank at its discretion will submit requests for addition / decrease in number of user subscriptions as per the requirements reviewed every year. These requests will be in slabs of 50 user subscriptions. The cost of proportionate increase / decrease will be as per the annual subscription cost quoted by the bidder for that year. (e.g. In case Bank requires to deploy Performance Management System for additional 50 No's user in 2nd year then the additional cost to be considered for year 2 will be Annual Subscription Cost for PMS provided by the bidder in year 2 x 50 divided by 25,000).
- z) ***** Onsite Support for the solution will be from 7AM to 11PM and charges to be provided based on the manpower efforts in 2 shifts per day. The Bank has discretion to avail onsite support services and number of support engineers at person day cost given. However, for the TCO purpose 2 person day (2 shift x 1 person) x 365 for each year will be considered. (e.g. In case Bank requires only one person then the cost considered for that person will be Onsite Support Cost provided by the bidder in their commercial divided by 2).

Authorized Signatory

Name:

Designation:

Vendor's Corporate Name

Annexure 16 – Integrity Pact

PRE CONTRACT INTEGRITY PACT

General

This pre-bid pre-contract Agreement (hereinafter called the Integrity Pact) is made on _____ day of _____ month, 20____, between, on one hand, Bank of Baroda, a body corporate constituted under the Banking Companies (Acquisitions and Transfer of Undertakings) Act, 1970 having its head office at Mandvi Baroda, and its corporate office at Baroda Corporate Centre, C-26, G-Block, Bandra Kurla Complex, Bandra East, Mumbai-400051 (hereinafter called the "BUYER", which expression shall mean and include, unless the context otherwise requires, his successors in office and assigns) of the First Part and M/s _____ represented by Shri _____, Chief Executive Officer (hereinafter called the "BIDDER/Seller" which expression shall mean and include, unless the context otherwise requires, his successors and permitted assigns) of the Second Part.

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

WHEREAS the BIDDER is a private company/public company/Government undertaking/partnership/registered export agency, constituted in accordance with the relevant law in the matter and the BUYER is a Public Sector Undertaking performing its functions on behalf of the President of India.

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

Enabling the BUYER to obtain the desired said stores/equipment at a competitive price in conformity with the defined specifications by avoiding the high cost and the distortionary impact of corruption on public procurement, and

Enabling BIDDERS to abstain from bribing or indulging in any corrupt practice in order to secure the contract by providing assurance to them that their competitors will also abstain from bribing and other corrupt practices and the BUYER will commit to prevent corruption, in any form, by its officials by following transparent procedures.

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

Commitments of the BUYER

- 1.1 The BUYER undertakes that no official of the BUYER, connected directly or indirectly with the contract, will demand, take a promise for or accept, directly or through intermediaries, any bribe, consideration, gift, reward, favour or any material or immaterial benefit or any other advantage from the BIDDER, either for themselves or for any person, organisation or third party related to the contract in exchange for an advantage in the bidding process, bid evaluation, contracting or implementation process related to the contract.
- 1.2 The BUYER will, during the pre-contract stage, treat all BIDDERS alike, and will provide to all BIDDERS the same information and will not provide any such information

to any particular BIDDER which could afford an advantage to that particular BIDDER in comparison to other BIDDERS.

- 1.3 All the officials of the BUYER will report to the appropriate Government office any attempted or completed breaches of the above commitments as well as any substantial suspicion of such a breach.
- 1.4 In case any such preceding misconduct on the part of such official(s) is reported by the BIDDER to the BUYER with full and verifiable facts and the same is prima facie found to be correct by the BUYER, necessary disciplinary proceedings, or any other action as deemed fit, including criminal proceedings may be initiated by the BUYER and such a person shall be debarred from further dealings related to the contract process. In such a case while an enquiry is being conducted by the BUYER the proceedings under the contract would not be stalled.

Commitments of BIDDERS

- 2 The BIDDER commits itself to take all measures necessary to prevent corrupt practices, unfair means and illegal activities during any stage of its bid or during any pre-contract or post-contract stage in order to secure the contract or in furtherance to secure it and in particular commit itself to the following:-
 - 2.1 The BIDDER will not offer, directly or through intermediaries, any bribe, gift, consideration, reward, favour, any material or immaterial benefit or other advantage, commission, fees, brokerage or inducement to any official of the BUYER, connected directly or indirectly with the bidding process, or to any person, organisation or third party related to the contract in exchange for any advantage in the bidding, evaluation, contracting and implementation of the contract.
 - 2.2 The BIDDER further undertakes that it has not given, offered or promised to give, directly or indirectly any bribe, gift, consideration, reward, favour, any material or immaterial benefit or other advantage, commission, fees, brokerage or inducement to any official of the BUYER or otherwise in procuring the Contract or forbearing to do or having done any act in relation to the obtaining or execution of the contract or any other contract with the Government for showing or forbearing to show favour or disfavour to any person in relation to the contract or any other contract with the Government.
 - 2.3 BIDDERS shall disclose the name and address of agents and representatives and Indian BIDDERS shall disclose their foreign principals or associates.
 - 2.4 BIDDERS shall disclose the payments to be made by them to agents/brokers or any other intermediary, in connection with this bid/contract.
 - 2.5 The BIDDER further confirms and declares to the BUYER that the BIDDER is the original manufacturer/integrator/authorised government sponsored export entity and has not engaged any individual or firm or company whether Indian or foreign to intercede, facilitate or in any way to recommend to the BUYER or any of its functionaries, whether officially or unofficially to the award of the contract to the BIDDER, nor has any amount been paid, promised or intended to be paid to any such individual, firm or company in respect of any such intercession, facilitation or



recommendation.

- 2.6 The BIDDER, either while presenting the bid or during pre-contract negotiations or before signing the contract, shall disclose any payments he has made, is committed to or intends to make to officials of the BUYER or their family members, agents, brokers or any other intermediaries in connection with the contract and the details of services agreed upon for such payments.
- 2.7 The BIDDER will not collude with other parties interested in the contract to impair the transparency, fairness and progress of the bidding process, bid evaluation, contracting and implementation of the contract.
- 2.8 The BIDDER will not accept any advantage in exchange for any corrupt practice, unfair means and illegal activities.
- 2.9 The BIDDER shall not use improperly, for purposes of competition or personal gain, or pass on to others, any information provided by the BUYER as part of the business relationship, regarding plans, technical proposals and business details, including information contained in any electronic data carrier. The BIDDER also undertakes to exercise due and adequate care lest any such information is divulged.
- 2.10 The BIDDER commits to refrain from giving any complaint directly or through any other manner without supporting it with full and verifiable facts.
- 2.11 The BIDDER shall not instigate or cause to instigate any third person to commit any of the actions mentioned above.
- 2.12 If the BIDDER or any employee of the BIDDER or any person acting on behalf of the BIDDER, either directly or indirectly, is a relative of any of the officers of the BUYER, or alternatively, if any relative of an officer of the BUYER has financial interest/stake in the BIDDER's firm, the same shall be closed by the BIDDER at the time of filing of tender. The term 'relative' for this purpose would be as defined in Section 6 of the Companies Act 1956.
- 2.13 The BIDDER shall not lend to or borrow any money from or enter into any monetary dealings or transactions, directly or indirectly, with any employee of the BUYER.

3 Previous Transgression

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

4 Earnest Money (Security Deposit)

- 4.1 While submitting commercial bid, the BIDDER shall deposit an amount (shall be specified in RFP) as Earnest Money/Security Deposit, with the BUYER through any

of the following instruments:

- (i) Bank Draft or a Pay Order in favour of Bank of Baroda
- (ii) A confirmed guarantee by an Indian Nationalised Bank other than Bank of Baroda, promising payment of the guaranteed sum to the BUYER on demand within three working days without any demur whatsoever and without seeking any reasons whatsoever. The demand for payment by the BUYER shall be treated as conclusive proof of payment.
- (iii) Any other mode or through any other instrument (to be specified in the RFP).

4.2 The Earnest Money/Security Deposit shall be valid upto a period of 8 Months or the complete conclusion of the contractual obligations to the complete satisfaction of both the BIDDER and the BUYER, including warranty period, whichever is later.

4.3 In case of the successful BIDDER a clause would also be incorporated in the Article pertaining to Performance Bond in the Purchase Contract that the provisions of Sanctions for Violation shall be applicable for forfeiture of Performance Bond in case of a decision by the BUYER to forfeit the same without assigning any reason for imposing sanction for violation of this Pact.

4.4 No interest shall be payable by the BUYER to the BIDDER on Earnest Money/Security Deposit for the period of its currency.

5 Sanctions for Violations

5.1 Any breach of the aforesaid provisions by the BIDDER or any one employed by it or acting on its behalf (whether with or without the knowledge of the BIDDER) shall entitle the BUYER to take all or any one of the following actions, wherever required:-

5.1.1 To immediately call off the pre contract negotiations without assigning any reason or giving any compensation to the BIDDER. However, the proceedings with the other BIDDER(s) would continue.

5.1.2 The Earnest Money Deposit (in pre-contract stage) and/or Security Deposit/Performance Bond (after the contract is signed) shall stand forfeited either fully or partially, as decided by the BUYER and the BUYER shall not be required to assign any reason therefore.

5.1.3 To immediately cancel the contract, if already signed, without giving any compensation to the BIDDER.

5.1.4 To recover all sums already paid by the BUYER, and in case of an Indian BIDDER with interest thereon at 2% higher than the prevailing Base Rate of Bank of Baroda, while in case of a BIDDER from a country other than India with interest thereon at 2% higher than the LIBOR. If any outstanding payment is due to the BIDDER from the BUYER in connection with any other contract for any other stores, such outstanding payment could also be utilised to recover the aforesaid sum and interest.

5.1.5 To encash the advance bank guarantee and performance bond / warranty bond, if furnished by the BIDDER, in order to recover the payments, already made by the



BUYER, along with interest.

- 5.1.6 To cancel all or any other Contracts with the BIDDER. The BIDDER shall be liable to pay compensation for any loss or damage to the BUYER resulting from such cancellation/ rescission and the BUYER shall be entitled to deduct the amount so payable from the money(s) due to the BIDDER.
- 5.1.7 To debar the BIDDER from participating in future bidding processes of the Government of India for a minimum period of five years, which may be further extended at the discretion of the BUYER.
- 5.1.8 To recover all sums paid in violation of this Pact by BIDDER(s) to any middleman or agent or broker with a view to securing the contract.
- 5.1.9 In cases where irrevocable Letters of Credit have been received in respect of any contract signed by the BUYER with the BIDDER, the same shall not be opened.
- 5.1.10 Forfeiture of Performance Bond in case of a decision by the BUYER to forfeit the same without assigning any reason for imposing sanction for violation of this Pact.
- 5.2 The BUYER will be entitled to take all or any of the actions mentioned at para 6.1(i) to (x) of this Pact also on the Commission by the BIDDER or any one employed by it or acting on its behalf (whether with or without the knowledge of the BIDDER), of an offence as defined in Chapter IX of the Indian Penal code, 1860 or Prevention of Corruption Act, 1988 or any other statute enacted for prevention of corruption.
- 5.3 The decision of the BUYER to the effect that a breach of the provisions of this Pact has been committed by the BIDDER shall be final and conclusive on the BIDDER . However, the BIDDER can approach the Independent Monitor(s) appointed for the purposes of this Pact.

6 Fall Clause

The BIDDER undertakes that it has not supplied/is not supplying similar product / systems or subsystems / services at a price lower than that offered in the present bid in respect of any other Ministry/Department of the Government of India or PSU and if it is found at any stage that similar product / systems or sub systems / services was supplied by the BIDDER to any other Ministry/Department of the Government of India or a PSU at a lower price within a period of one year before and after bid submission date, then that very price, with due allowance for elapsed time, will be applicable to the present case and the difference in the cost would be refunded by the BIDDER to the BUYER, if the contract has already been concluded.

7 Independent Monitors

- 7.1 The BUYER has appointed Independent External Monitors (hereinafter referred to as Monitors) for this Pact in consultation with the Central Vigilance Commission. (Name: Mr. Shirish Balakrishna Agarkar (email id: agarkar.bob1@gmail.com)
- 7.2 The task of the Monitors shall be to review independently and objectively, whether and to what extent the parties comply with the obligations under this Pact.
- 7.3 The Monitors shall not be subject to instructions by the representatives of the parties



and perform their functions neutrally and independently.

- 7.4 Both the parties accept that the Monitors have the right to access all the documents relating to the project/procurement, including minutes of meetings.
- 7.5 As soon as the Monitor notices, or has reason to believe, a violation of this Pact, he will so inform the Authority designated by the BUYER.
- 7.6 The BIDDER(s) accepts that the Monitor has the right to access without restriction to all Project documentation of the BUYER including that provided by the BIDDER. The BIDDER will also grant the Monitor, upon his request and demonstration of a valid interest, unrestricted and unconditional access to his project documentation. The same is applicable to Subcontractors. The Monitor shall be under contractual obligation to treat the information and documents of the BIDDER/Subcontractor(s) with confidentiality.
- 7.7 The BUYER will provide to the Monitor sufficient information about all meetings among the parties related to the Project provided such meetings could have an impact on the contractual relations between the parties. The parties will offer to the Monitor the option to participate in such meetings.
- 7.8 The Monitor will submit a written report to the designated Authority of BUYER/Secretary in the Department/ within 8 to 10 weeks from the date of reference or intimation to him by the BUYER I BIDDER and, should the occasion arise, submit proposals for correcting problematic situations.

8 Facilitation of Investigation

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

9 Law and Place of Jurisdiction

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

10 Other Legal Actions

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

11 Validity

The validity of this Integrity Pact shall be from date of its signing and extend upto 5 years or the complete execution of the contract to the satisfaction of both the BUYER and the BIDDER/Seller, including warranty period, whichever is later. In case BIDDER is unsuccessful, this Integrity Pact shall expire after six months from the date of the signing of the contract.

- 11.1 Should one or several provisions of this Pact turn out to be invalid; the remainder



of this Pact shall remain valid. In this case, the parties will strive to come to an agreement to their original intentions.

12. The parties hereby sign this Integrity Pact at _____ on _____

BUYER

BIDDER

Name of the Officer:

Chief Executive Officer

Designation:

Department:

Witness

Witness

1. _____

1. _____

2. _____

2. _____

Annexure 17 – Methodology and Detailed Project Plan

1. Bidder should cover details of the proposed methodology for providing services relating to Design and Implementation of HRMS, Payroll & PMS Solution. The methodology should include aspects such as
 - a. Approach and methodology for design phase
 - b. Software/system implementation
 - c. System roll out
 - d. Training
 - e. Project management
 - f. System maintenance and support including.
 - i. Bidder’s presence in India
 - ii. Bidder’s support mechanism
 - iii. Support centers (No. of support centers, locations, staffing etc.)
 - iv. Whether dedicated support staff will be maintained at Bank of Baroda on an ongoing basis
 - v. Call centers / Help desk
 - vi. Give details of any business associates/affiliates/franchisees of the bidder who perform support function
2. Bidder may give suggestions on improvement of the scope of work given in the RFP and may mention the details of any add on services related to services over and above what is laid down in the tender document.
3. Bidder is expected to provide details of the organization structure proposed for the execution of this contract. This should cover the composition of the complete team including Lead Bidder and Consortium members including their escalation matrix.
4. A Detailed Project Plan covering break-up of each phase into the key activities, along with the start and end dates must be provided as per format given below.

S. No.	Item of Activity (Project Plan)	Month wise Program			
		Month 1	Month 2	Month 3	Month 4
1	Activity 1				
1.1	Sub-Activity 1				
1.2	Sub-Activity 2				

Authorized Signatory

Name:

Designation:

Vendor’s Corporate Name

Address

Email and Phone #



Annexure 18 – Bidder Profile Format

1	Name of the Company																									
2	Year of establishment																									
3	Turnover (in INR)	FY 2015: FY 2016: FY 2017: (if FY 2017 numbers not available, then provide FY 2014 numbers)																								
4	Profit after tax (in INR)	FY 2015: FY 2016: FY 2017: (if FY 2017 numbers not available, then provide FY 2014 numbers)																								
5	Role of the member (Consultant/SI/ Vendor/ Others (description))																									
6	Head Office Address																									
7	Telephone No. (with ISD/STD Code)																									
8	Fax No. (with ISD/STD Code)																									
9	E-mail Address																									
10	Name of the Key representatives for this project																									
11	Any accreditations / Certifications (e.g. CMM, ISO, ITIL etc.)																									
12	Previous experience in implementation of HRMS, Payroll & PMS Solution at commercial banks	<p>Implementations in the last 3 years:</p> <table border="1"> <thead> <tr> <th>Name of the customer</th> <th>Total no. of users</th> <th>Module deployed</th> </tr> </thead> <tbody> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> </tbody> </table> <p>Implementations done prior to last 3 years:</p> <table border="1"> <thead> <tr> <th>Name of the customer</th> <th>Total no. of users</th> <th>Module deployed</th> </tr> </thead> <tbody> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> </tbody> </table>	Name of the customer	Total no. of users	Module deployed										Name of the customer	Total no. of users	Module deployed									
Name of the customer	Total no. of users	Module deployed																								
Name of the customer	Total no. of users	Module deployed																								



		Please provide details for each past implementation in <u>Annexure 19</u>
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As of this date, the information furnished in all parts of this form is accurate and true to the best of my knowledge.

Authorized Signatory

Name:

Designation:

Vendor's Corporate Name

Address

Email and Phone #



Annexure 19 – Details of past implementations

Please provide details of prior experience in design, deployment and implementation of HRMS, Payroll & PMS Solution at other commercial banks.

For each prior experience reference that the bidder wants to highlight, one sheet in the below template must be submitted as part of the technical bid in the proposal.

Name of the bidder for which client reference is being provided	
Name of the client	
Country	
Client address	
Description of the assignment and the scope of services delivered by the bidder to the clients; please specify modules deployed as part of the HRMS, Payroll & PMS	
Description of the solution implemented. Also indicate whether it is the same as the solution proposed to the Bank.	
Assignment duration (in months)	
Assignment start date (Month & Year)	
Assignment end date (Month & Year)	
Total no. of staff months in the assignment	
Approximate value of contract (in INR)	
Client Reference 1	Name: Designation: Address: Phone No: Mob No: Email ID:
Client Reference 2	Name: Designation: Address: Phone No: Mob No: Email ID:

Authorized Signatory

Name:

Designation:

Vendor's Corporate Name

Address

Email and Phone #



Annexure 20 – Security and compliance

The vendor has to comply with the Information security policy of the bank for the applicable solution requirements mentioned in RFP. Solution will also be able to integrate with Bank’s Active Directory security policies and authentication framework. Solution should be offered at dedicated environment to have better control over Bank’s data due to compliance / security related aspects. The solution should conform to the following industry level certifications:

ISO 27001:2013

ISO 27018

SOC 2

SSAE/SOC

ISO27018

Bidder has to submit response against the following requirement:

	Subject	SP/Bidder Response
1.	Right to Audit: Service Provider should provide right to audit as similar to what Bank is having with other shared data centers in India. Bank must have “Rights to Audit” the SP's compliance with the agreement including rights of access to the SP's premises where relevant records and Bank’s data is being held. It also include audit rights for the Bank or its appointed auditor (nominee) or regulators as an integral clause in the service agreement.	
2.	Data and Information Security: SP to ensure following : Data integrity management. To provide full disclosure regarding security practices and procedures as stated in their SLAs Specific identification of all controls used during the data lifecycle. To maintain a fundamental philosophy of knowing where Bank’s data (Logical /Physical) To determine who should access the data, what their rights and privileges are, and under what conditions these access rights are provided and	



	<p>maintain a “Default Deny All” policy</p> <p>To define and identify the data classification. SP to enforce the Bank’s access requirements based on data classification.</p> <p>To encrypt data at rest and encrypt data in transit.</p> <p>To share what compartmentalization techniques are employed to isolate Bank data from other customer’s data</p> <p>Sharing of encryption management with Bank on multi-tenant storage.</p> <p>To comply with data retention and destruction schedules/Policy provided by Bank, SP to certify on Bank’s request destroying all data at all locations including slack in data structures and on the media. The Bank will have right to audit this practice.</p> <p>Understand the logical segregation of information and protective controls implemented.</p> <p>Understand Cloud provider policies and processes for data retention and destruction and how they compare with internal organizational policy.</p> <p>Perform regular backup and recovery tests to assure that logical segregation and controls are effective.</p> <p>Ensure that Cloud provider personnel controls are in place to provide a logical segregation of duties.</p> <p>To provide Forensic Investigation Support as and when required by the Bank.</p> <p>To comply with Bank’s RTO/RPO requirement and retention policy.</p>	
3.	<p>Application and Process Security:</p> <p>SP application should meet the requirements for zoning security, and prevent direct access from the user interface layers to the database layers. The application needs to follow a multi-tier deployment model to achieve this.</p>	



	<p>The SP application should conform to Open Web Application Security project guidelines on web application security, including protection against SQL injection, cross-site scripting, data validation for special characters etc.</p> <p>The application should conform to applicable security guidelines from relevant standards. E.g. ISO/IEC 27017, ISO/IEC 20018.</p> <p>The application executable files and the source code need to be secured from unauthorized access and possible theft.</p> <p>If the application is deployed on the Cloud using native multi-tenancy features offered by the application, privacy of data across tenants or entities needs to be ensured through appropriate access control mechanisms</p> <p>Application should clearly log business errors and technical errors separately to support separation of duties between business users and data Center operator.</p> <p>User access to sensitive data needs to be controlled</p> <p>SP to comply with Bank's password management policy.</p> <p>Features like session timeouts and restricting logins to office hours should be implemented to enhance security</p> <p>The application should clear sensitive data like passwords from memory immediately after it is processed.</p> <p>Application level support for definition of users, roles, and exception management functions is to be ensured.</p>	
4.	<p>Integration with external applications:</p> <p>Application needs to have well defined APIs and application needs to ensure that only authorized application can invoke such APIs.</p>	



	<p>The application must have extensive audits to log all transactions and important non transactional activities. The application needs to implement maker-checker principle for activities like important business parameter updates.</p> <p>The application should provide a mechanism to purge old data (after archival if required) while maintaining transactional integrity.</p> <p>The application needs to provide a documented mechanism, preferably a tool for application monitoring.</p> <p>The application needs to provide a documented mechanism, preferably a tool for reporting important errors and taking automated actions.</p>	
5.	<p>IT Infrastructure Security of public cloud consist monitoring as under:</p> <p>Virtual environment security: It includes resource allocation, hardening of OS, VM image encryption, VM monitoring, USB disabling on VMs, VM should be kept on dedicated partition and IP addresses should not be shared.</p> <p>Encryption and Key Management: Depending on sensitivity data is to be encrypted, transport layer encryption is to be ensured using SSL, VPN Gateway, SSH and TLS encryption. End-to-end process for managing and protecting encryption keys to be established and documented. Compliance is to be ensured in ongoing basis.</p> <p>Monitoring: Devices should be integrated with SBSOC for continuous monitoring for access monitoring, threat monitoring, audit logging, system usage monitoring, protection of log information, administrator and operator log monitoring, fault log monitoring.</p>	
6.	<p>Physical and Logical Security:</p> <p>The SP infrastructure including servers, routers, storage devices, power supplies, and other</p>	



	<p>components that support operations, should be physically secured. Safeguards include the adequate control and monitoring of physical access using biometric access control measures and closed circuit television (CCTV) monitoring.</p> <p>A security plan for the physical environment should be implemented. Bank should have audit rights on complete physical setup. Data should be have relevant standard certifications and accreditation.</p>	
7.	<p>Logical Security:</p> <p>In a SP environment where business critical data and information systems are coexisting at multiple places, logical security has a very important role in securing the data. To manage logical access Bank should design access using username, password, OTP, RSA Token, Biometric Authentication, etc.</p>	
8.	<p>Legal Issues:</p> <p>There are various laws like Information Technology Act, Data Privacy Act, Data Retention Directive, E-Privacy Directive, E-Commerce Directive, will be applicable to SP providers and also the customers of the Cloud service. Compliance with Indian data privacy law is expected at all times. It will be mandatory to protect the data privacy as per this law. SP should comply with such laws.</p>	
9.	<p>Operational Security:</p> <p>In view of operational security concerns like BCP, DRP, SLA etc., SP need to submit various reports as required by the bank, time to time for internal or regulatory reporting purposes.</p>	
10.	<p>Miscellaneous:</p> <p>SP to ensure the following requirements are met</p> <p>Compliance with Information Security of the Bank as applicable on relevant aspects</p> <p>Protection mechanism (physical and logical) SP has in place for the actual hardware where Bank's data</p>	



	<p>will be stored on.</p> <p>Incident management, business continuity and disaster recovery policies, and processes and procedures of service provider (SP) and should include reviews of collocation and back-up facilities.</p>	
11	<p>Government requests for audits, compliance etc.</p> <p>In case, if a government demand is received for any data, the below mentioned process has to be followed:</p> <p>Disclose customer data when legally required and only after attempting to redirect the request to the customer</p> <p>Resist government demands that are invalid</p> <p>Prior written permission needs to be taken from the bank for all such requests.</p>	