



Bank of Baroda

**Request for Proposal for Selection of Partner
to Implement and Support of Performance
Management Solution of SAP-Success
Factors on cloud for period of 5 years.**

Bank of Baroda

**28th February 2018
RFP Reference: BCC:IT:PROC:110:13**

**[A] Important Dates:**

#	Particulars	Timeline
1	RFP Issuance Date	28th February 2018
2	RFP Coordinator Name, Contact details (Bank)	1. Mr. Arnab Das, Manager (IT) 2. Contact No. - 022-66981556 / 3237 / 3228 3. Email: rfp.it.procurement@bankofbaroda.co.in 4. Postal Address: The Chief Manager (IT Procurement), Bank of Baroda, C-34, G-Block, Baroda Sun Tower, 7 th Floor, Project Office, BKC, Mumbai - 400051
3	Last Date of Written request for Clarifications Before the Pre-bid Meeting	5:00 PM on 4 th March, 2018
4	Pre-bid Meeting	11:30 AM on 5 th March, 2018 at Bank of Baroda, Baroda Sun Tower, Bandra Kurla Complex, Mumbai – 400051
5	Last Date of Submission of RFP Response (Closing Date)	2.30 PM on 14 th March, 2018 at Bank of Baroda, Baroda Sun Tower, Bandra Kurla Complex, Mumbai – 400051
6	Eligibility Cum Technical Bid Opening Date	3:00 PM on 14 th March, 2018 at Bank of Baroda, Baroda Sun Tower, Bandra Kurla Complex, Mumbai – 400051
7	Commercial Bid	The commercial bids of only those Bidders 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 Bidders.
8	Application Money	Rs. 25,000/- (Rupees Twenty Five Thousand only)
9	Bid Security (Earnest Money Deposit)	Rs. 10,00,000/- (Rupees Ten Lakh Only)
10	Minimum requirement for Online RFP response submission	1. Computer / Laptop (Notebook) with internet connection



		2. Operating system - Windows XP Service pack -3 / VISTA/ Windows 7 or above 3. Digital certificate (DC) - Class II or III, Signing + Encryption. (DC to be organizational type if bidder is participating on behalf of an organization) 4. Web Browsers: Internet Explorer 9.0 (32-bit Browser only) & above
11	Mode of bid submission & online portal's URL	Mode: Online URL: https://bobtenders.abcprocure.com
12	Support details of Online Portal facilitator	M/s e-Procurement Technologies Limited Mr. Shivam Shewaramani Email: Shivam@auctiontiger.net Phone: +91-79-40016824



[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

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 Selection of partner to Implement and Support of Performance Management Solution of SAP-SuccessFactors on cloud for period of 5 years.

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 Contact Details for Responding to RFP

2.1.1 RFP Coordinator

The Bank has established RFP coordinators to provide a venue for managing vendor relationship and other requirements through the Bank's decision making body for contract clarification.

All the queries and communication must be addressed to the RFP coordinators / contact persons from the Bank mentioned in "[A] Bid Details - RFP Coordinator":

2.2 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.

2.3 Disqualification



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

2.4 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.

2.5 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.

2.6 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.

2.7 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 as mentioned in the clause 2.9.1. Vendor should submit the bid security as mentioned section 2.10 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 15 (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) The proposal should be prepared in English in MS Word / Excel / Powerpoint format.



- d) 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 signed by the authorized signatory.
- h) Unsigned responses would be treated as incomplete and are liable to be rejected.

2.8 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 15.
- ▶ 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.

2.9 Lodgment of RFP Response

2.9.1 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. 29040400000418, 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.



2.9.2 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)”.

2.10 Earnest Money Deposit

The vendors will have to submit the Earnest Money Deposit (EMD – Bid Security) while submitting the technical bid at the rate stipulated by the bank.

1. The Vendor shall furnish, as a part of its technical bid, earnest money deposit as mentioned in point “[A] Important Dates – 8. Bid Security (Earnest Money Deposit)”. The earnest money deposit is required to protect the Bank against the risk of Vendor’s conduct.
2. The Earnest Money Deposit shall be denominated in the Indian Rupees only and shall be in the form of a Demand Draft favoring “Bank of Baroda” payable at BKC, Mumbai 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.
3. The unsuccessful Vendor’s earnest money deposit or bank guarantee will be returned by the Bank within two weeks from closure of the RFP process.
4. The successful Vendor’s earnest money deposit or bank guarantee will be discharged upon the vendor signing the contract and furnishing the performance guarantee.
5. The earnest money deposit of a vendor may be forfeited or the bank guarantee in lieu of EMD 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
6. 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

2.11 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.

2.12 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.

2.13 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.

2.14 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.

2.15 Contract period

The Contract with the selected bidder will be valid for a period of 5 years from the start date of subscription of SAP-SuccessFactors 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.

2.16 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 Performance Management System 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 implementation and maintenance of Performance Management System of SAP-SuccessFactors on cloud for period of 5 years. This system needs to be implemented for all the officers (~25,000 employees) based out of India. All employees in overseas branches, subsidiaries and RRBs, clerks and sub-staff may have to be subsequently added to this 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 Implementation and Maintenance of Performance Management Solution of SAP-SuccessFactors on cloud for period of 5 years mentioned in Annexure 11. The participating vendor must agree all our terms & conditions mentioned under this RFP.

3.3 Project Scope

Bank already has an agreement with SAP India Pvt. Ltd. for 25001 user for a period of 5 years for subscription of SAP- Successfactors with agreed subscription rate for each year.

The entire project scope consists of two parts:

Part I: Implementation and maintenance of SAP Successfactors product (performance management module): The successful vendor needs to implement the complete SAP- Success factors solution as per the scope defined in Annexure 11. The vendor as part of implementation should do necessary installation and configuration of SAP- Success factors Application. The vendor's scope also includes installation, configuration and support of SAP- Success solution. List of components like Middleware etc. required as part of Implementation and Configuration and Application architecture along with a detailed diagram including the infrastructure setup, vendor needs to provide as part of the technical solution.

The vendor have to integrate the PMS with core Human Resources management software (legacy HRMS) solution - Oracle e-business suite (EBS) and data warehouse etc.



Complete scope for implementation of Performance Management Solution (SAP-SuccessFactors) is mentioned in Annexure-11.

Part II: (Development, implementation and maintenance of PHP based web applications) Along with the implementation of SAP SuccessFactors PMS module, the bank also intends to implement bespoke PHP-based web application to support the following:

Target setting process

Performance dashboards and analytics for Corporate Banking

Both these functionalities are integral to the overall performance management ecosystem. The bank already has in place a PHP application that supports the following functionalities:

Assigning roles and key responsibility areas (KRAs) to individuals in the retail branch network. Performance dashboards and analytics based intelligence for retail branches. Detailed scope is also covered in Annexure 11 part II. The bank is also seeking onsite support for these web applications as well.

It is expected that vendor will arrange for complete knowledge transfer to Bank / Bank's identified MSP along with required documents for both these requirements (Part I and Part II).

The Vendor should provide to the Bank the following as part of the **Development, implementation and maintenance of PHP based web applications (Part II)**:

- a. Source code, object code / executable code, unit test cases, unit test code, and compilation procedures (build/make file, build scripts etc), Source code quality report using reputed Code Quality Tools, Test Scripts for CIT / SIT / UAT of the developed application / customizations and subsequent upgrades, if any.
- b. Transferring the ownership of all software developed / customized / configured / procured. All licenses & support related documents should be in the name of Bank.
- c. All necessary functional and technical documentation (Technical specifications, Integration specifications, Application architecture/design, Integration architecture / design, Test Cases documentation for CIT / SIT / UAT, Deployment guide on infrastructure servers, and Release notes) must also be delivered with every source code delivery for any change.
- d. The Intellectual Property Rights on the developed software code will be with the Bank.

3.4 Infrastructure

The complete Implementation and Maintenance of Performance Management Solution shall be part of the scope of the vendor. The vendor must provide necessary infrastructure support required for integration with legacy HRMS and data warehouse of the bank. The vendor must include sizing of any additional infrastructure required for implementation, integration of the solution.

3.5 Service Levels and Uptime Guarantee

For details, please refer to Annexure 12 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
Number of Implementations completed or under implementation (In the last 3 years) **	5 marks for each SAP SuccessFactors implementation in India (up to max. 5 implementations). Proof of such work and completion of implementation should be submitted along with the response.	25
	1 additional bonus marks for each SAP SuccessFactors implementation in a bank in India**	5
Partner profile	Bidder should have SAP SuccessFactors certified professionals with minimum 5 years of experience (1 marks for each resource)	5
	Partnership level with SAP (5 marks for Gold Partner, 2 marks for Silver)	5
Product Demonstration / Presentation cum interview	Demonstration at Bank end and / or Client visit where the proposed solution is implemented. Evaluation on the following Parameters	
	Parameters	Max Marks
	Demonstration of prototype screens	20
	Quality of Presentation	10
	Scalability - Future	10
Implementation plan	Proposed solution and IT architecture	5
	Delivery approach & methodology	5
	Project team and resource plan	5
	Project governance	5
TOTAL MARKS		100

**** Minimum user base 2,000 users; copies of Work order and client reference to be provided. Credentials and other evaluation criteria will be computed as of RFP date.**

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)	$[(C_{low} / C) * 100] * 0.30$ (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. The contract would be valid for a period of 5 years from the subscription start date of SAP-Success factors solution, and any residual payment during that period would be adjusted on a prorated 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 of 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 deliverables 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.

5.2 Bid Security and Performance Guarantee

5.2.1 Bid Security / Earnest Money Deposit

5.2.1.1 Vendors are required to give an earnest money deposit of an amount as mentioned in “[A] Important Dates –Bid Security (Earnest Money Deposit)” by way of Demand Draft/Pay Order drawn on BKC, Mumbai payable to “Bank of Baroda” or a Bank Guarantee of an equal amount issued by a Commercial Bank (other than Bank of Baroda) located in India, valid for 6 months in the form provided in the RFP (Annexure 04 – Bid Security Form). The Demand Draft should be of a Commercial Bank only (other than Bank of Baroda) and will be accepted subject to the discretion of the Bank

5.2.1.2 Offers made without the Earnest money deposit will be rejected.

5.2.1.3 The amount of Earnest money deposit would be forfeited in the following scenarios:

5.2.1.3.1 In case the vendor withdraws the bid prior to validity period of the bid for any reason whatsoever;

5.2.1.3.2 In case the vendor refuses to accept and sign the contract as specified in this document within 1 month of issue of contract order/letter of intent for any reason whatsoever; or

5.2.1.3.3 In case the Vendor fails to provide the performance guarantee within 30 days from the purchase order date, for any reason whatsoever.

5.2.2 Performance Guarantee

5.2.2.1 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 13 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.

5.2.2.2 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.

- 5.2.2.3 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.
- 5.2.2.4 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.

5.3 Others

- 5.3.1 The solution will be deemed accepted only after successful ATP and sign off from Bank's identified Project Manager.
- 5.3.2 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.
- 5.3.3 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.
- 5.3.4 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
- 5.3.5 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.
- 5.3.6 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.

- 5.3.7 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.
- 5.3.8 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.
- 5.3.9 The Bank and the vendor covenants and represents to the other Party the following:
- 5.3.9.1 It is duly incorporated, validly existing and in good standing under as per the laws of the state in which such Party is incorporated.
- 5.3.9.2 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.

5.3.10 The execution, delivery and performance under an Agreement by such Party:

5.3.10.1 Will not violate or contravene any provision of its documents of incorporation;

5.3.10.2 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;

5.3.10.3 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;

5.3.10.4 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.

5.3.11 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.

5.3.12 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.

5.3.13 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

5.3.14 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.

5.4 Other RFP Requirements

5.4.1 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.
- 5.4.2 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.
- 5.4.3 The Bank reserves the right to extend the dates for submission of responses to this document.
- 5.4.4 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.
- 5.4.5 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.
- 5.4.6 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.
- 5.4.7 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
- 5.4.8 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.
- 5.4.9 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.
- 5.4.10 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
- 5.4.11 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.
- 5.4.12 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.
- 5.4.13 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.
- 5.4.14 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.

- 5.4.15 Letter of Undertaking from OSD / OEM (Annexure 09) – 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.
- 5.4.16 Undertaking on Information Security (Annexure10) - 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.
- 5.4.17 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.
- 5.4.18 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
- 5.4.19 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

5.5 Terms of Reference

5.5.1 Delivery

The Performance Management Solution must be implemented as per project scope within



a period of 4 months in totality from the date of the purchase order by the Bank. 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 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%. If delay exceeds two weeks from due date of implementation, 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.

5.5.2 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

- Bank already has an agreement with SAP India Pvt. Ltd. for a period of 5 years for subscription of SAP- Success factors with agreed terms & condition and subscription rate for each year. The successful vendor needs to implement the complete SAP- Success factors solution as per the scope defined in Annexure 11. Bank has a plan to deploy Performance Management System for all its officers (~25,000 employees) in its domestic locations. The Annual subscription charges will be paid to successful vendor. The payment will be divided into four equal instalments for the year and paid quarterly in advance, on actuals. The 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 agreed between Bank and SAP India Pvt Ltd for that year. (e.g. In case Bank requires to deploy Performance Management System for additional 50 No's of user in 2nd year then the additional cost to be considered for year 2 will be Annual Subscription Cost in Year 2 x 50 divided by 25000). 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)

- 20% of the implementation cost after Requirement sign-off. Requirement sign-off



should be signed by both Banks identified Project Manager & vendor representative.

- 40% of the implementation cost after UAT sign-off. UAT sign-off in the form of Acceptance Test should be signed by both Banks identified Project Manager & vendor representative.
 - 30% of the implementation cost after go- live sign off from Bank. Go Live Sign Off in the form of Acceptance should be signed by both Banks identified Project Manager & vendor representative.
 - 10% of the implementation cost after Go-Live closure signoff from Bank. Go Live Closure Sign Off in the form of Final Acceptance which should be signed by both Banks identified Project Manager & vendor representative. Operational Issues will be part of Managed Services and not part of Go- Live Sign Off
- c) **Integration Cost (OTC)** – 100% of the Integration cost after successful integration of the PMS with core Human Resources management software (legacy HRMS) solution - Oracle e-business suite (EBS) and data warehouse etc.
- d) **AMC / ATS** – Payable quarterly in advance against receipt of satisfactory service report of previous quarter from the Bank's Project / Operation Manager
- e) **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 Design, Build & Transfer Tier-III Data Centre 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 the option to terminate any subsequent agreement and / or any particular order, in whole or in part by giving Vendor at least 90 days' prior notice in writing. It is clarified that the Vendor shall not terminate the subsequent Agreement for convenience.

However, in lock in period the Bank will be entitled to terminate this RFP and any subsequent agreement, if Vendor breaches any of its obligations set forth in this RFP and any subsequent agreement and

- ▶ Such breach is not cured within thirty (30) Working Days after Bank gives written notice; or
- ▶ if such breach is not of the type that could be cured within thirty (30) Working Days, 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

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

- ▶ 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.

The Bank, by written notice of default sent to the Vendor, may terminate this Contract in whole or in part without prejudice to any other remedy for breach of Contract if the Vendor fails to deliver any or all of the Design, Goods, Works and Services, within the period(s) specified in the Contract or within any extension thereof granted by the Bank

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 Tender and subsequent 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 this Tender and 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 endeavours 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 90 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 90 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 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 and Effect of Termination

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
- ▶ 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 at all point of time 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, provided the Bank:

- ▶ 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 not fulfilling 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.

This indemnification is only a remedy for the Bank. The vendor is not absolved from its responsibility of complying with the statutory obligations as specified above. Indemnity shall exclude indirect, consequential and incidental damages.



6.13 NO Liability

All employees engaged by the Service Provider shall be in sole employment of the Service Provider and the Service Provider shall be solely responsible for their salaries, wages, statutory payments etc. That under no circumstances shall BOB be liable for any payment or claim or compensation (including but not limited to compensation on account of injury/death/termination) of any nature to the employees and personnel of the Service Provider.

Bob 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 the Service Provider as part of this Agreement.

Under no circumstances BOB shall be liable to the Service Provider for direct, indirect, incidental, consequential, special or exemplary damages arising from termination of this Agreement, even if BOB has been advised of the possibility of such damages, such as, but not limited to, loss of revenue or anticipated profits or lost business..

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 PMS 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 towards this project 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 Violation of Terms

The Bank clarifies that the Bank shall be entitled to an injunction, restraining order, right for recovery, suit for specific performance or such other equitable relief as a court of competent jurisdiction may deem necessary or appropriate to restrain the vendor from committing any violation or enforce the performance of the covenants, obligations and representations contained in this tender document. These injunctive remedies are cumulative and are in addition to any other rights and remedies the Bank may have at law or in equity, including without limitation a right for recovery of any amounts and related costs and a right for damages.

6.22 Cumulative Remedies

The various rights and remedies of either party under the agreement (to be executed under this RFP) whether provided therein or otherwise, conferred by statute, civil law, common law, custom or trade usages are cumulative and not alternative and no one of them shall be exclusive of any other as of any right or remedy allowed by law and may be enforced successively or concurrently.

6.23 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.

6.24 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.

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: support@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 08
9	Letter of Undertaking from OEM	Annexure 09
10	Undertaking of Information Security	Annexure 10
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, Installation and Maintenance of SAP- Successfactors 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



Section #	Section Heading	Proforma Given
12	Technical Proposal: The proposal based on Technical Specification compliance as per <u>Annexure 11</u> should be submitted with pages properly numbered, each page signed and stamped.	Vendor to provide
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 16
15	Integrity Pact	Annexure 17
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 18
19	Bidder Profile Format	Annexure 19
20	Details of Past implementation	Annexure 20
21	Security and Compliance	Annexure 21

Commercial Bid (Annexure 15) 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 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)
2	Bidder must not be blacklisted / debarred by any Statutory, Regulatory or Government Authorities or Public Sector Undertakings (PSUs / PSBs) since 1 st April 2016 till date.		Letter of confirmation from Bidder.
3	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.
4	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.400 Crores or above (from Indian Operations only) in each year during the last three completed financial years -2014-15, 2015-16 and 2016-17* (Not inclusive of the turnover of associate companies)		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.



S. No	Eligibility Criteria	Complied (Yes/No)	Supporting Required
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 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	Bidder must have been in business of supply, implementation & supporting of SAP-Success Factors Solution in India at least for a period of last 3 years (As on RFP date)		Documentary evidence to be attached
D	Experience & Support Infrastructure		
1	The proposed Performance Management Solution should have been implemented / Under implementation at 2 organizations in out of which One implementation should be Completed.		Documentary Proof of order / contract copy / customer credentials along with the completion certificate.
2	The proposed Performance Management Solution implemented / Under implementation should include Mobile Solution handling employee's Performance Management Systems of the organization.		Documentary Proof of order / contract copy / customer credentials.
3	Bidder should have direct support offices in Mumbai and Hyderabad. In case direct support office of the bidder is not present in Hyderabad / Mumbai then an undertaking to be provided by the		Letter of confirmation



S. No	Eligibility Criteria	Complied (Yes/No)	Supporting Required
	Bidder stating that direct support would be provided by the bidder at Hyderabad / Mumbai whenever desired by the Bank		

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

* If 2016-17 Financial Statements of any bidder is unaudited then Bank would consider the Audited Financial Statements of 2013-14 along with an undertaking letter from the bidder that the 2016-17 Statements are not audited

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 Implement and Support of Performance Management Solution of SAP-Success Factors on cloud for period of 5 years.

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 with Hardcopy 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 Implement and Support of Performance Management Solution of SAP-Success Factors on cloud for period of 5 years.

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:

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

Yours faithfully,

Authorized Signatory

Name:

Designation:

Vendor’s Corporate Name

Address

Email and Phone #



Annexure 08 –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 Implement and Support of Performance Management Solution of SAP-Success Factors on cloud for period of 5 years

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 09 – 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 Implement and Support of Performance Management Solution of SAP-Success Factors on cloud for period of 5 years

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 10–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 Implement and Support of Performance Management Solution of SAP-Success Factors on cloud for period of 5 years

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 11–Technical Requirement (Project Scope)

Bank is requesting a proposal for implementation of a comprehensive Performance Management System for all its officers in its domestic locations.

The solution needs to be integrated with the core Human Resources management software (legacy HRMS) solution – Oracle e-business suite (EBS). to import key data such as organization structure, roles etc., and data warehouse of the bank. The bidder needs to provide sizing for any additional infrastructure/hardware required for integration.

The vendor is required to supply, configure, customize, implement, integrate and maintain the Performance Management System and provide the hardware sizing that supports the proposed solution. The solution/ application will be accessed by officers spread across multiple locations in India – this includes 5500+ branch network, and 100+ regional offices and back offices.

The entire project scope consists of two parts:

- **Part I:** Implementation and maintenance of SAP Successfactors product (performance management module):
- **Part II:** Development, implementation and support of PHP based web applications:

1. Broad Scope of Work

Part I: Implementation and maintenance of SAP Success factors product (performance management module): A brief summary of modules required in the new PMS is provided below:

S. No.	Module name	Overview
1	Organization module	Used for looking at reporting structure by each employee, raising requests for modification in reporting structure and allocating Reporting authorities
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
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
4	Target viewing	This module goes along with Role assignment, Role modification and performance dashboard modules. This



		module is used by employee to see his/her targets against each of the measurable or budgetary KRAs
5	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
6	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.
7	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.
8	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	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.
10	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.
11	Application admin	Application admin is a screen used for monitoring performance management system w.r.t downtime, logins, peak users, updating screens etc.



12	Help center	This module is used for raising service requests and also houses the FAQs sections along with meaning of the search terms, process involved, navigation help etc.
13	Scoring module	This is a back end module used for automating the score calculation for all measurable/budgetary KRAs.

Interfacing with other systems

The new PMS is proposed to be highly automated with minimal manual intervention. Given this, the new PMS has to interface with other bank systems such as HRMS and data warehouse (SAP BI/BO):

Source	Data requirement
HRMS	Employee details such as employee ID, name, scale, location, designation, unit / department, etc.
Data warehouse	All performance related numbers w.r.t budgetary or measurable KRAs at individual level

Organization structure

Broadly, the bank has the following organization structure and hierarchy:

- Branch network: There are > 5000 branches of the bank located all across the country; this unit is led by a branch head.
- Regions: Almost all branches report to the regions. There are > 50 regions of the bank. A regional manager along with dy. regional manager heads this unit
- Zone: All regions and some specialized branches report to the zone. There are > 10 zones of the bank. A zonal manager along with dy. zonal manager heads this unit.

Abbreviations used:

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

A detailed requirement of each of the modules is provided in following pages.

ORGANIZATION MODULE

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.

Rep A allocator

Rep A for every employee should be auto allocated by the system as per the “Rep allocation logic” which is detailed in Annexure I (shown at end of module). This auto allocation process should run on daily basis.

If there’s a change in any employee’s details post such auto allocation, the concerned employee should get a notification mail that his/her Rep A has changed. Similarly, Rep A should also get a notification mail if there’s any change in Rep A’s reporting structure.

If an employee wants to request a change in Rep A, then employee should be able to initiate the change request process as detailed in “Org modification process if initiated by employee”. Similarly, Rep A should also be able to initiate the change request as per the process detailed in “Org modification process if initiated by Rep A”

When any change request is approved, no auto allocation should be made for the affected employees. However, the Rep A allocation module should override the manual allocation in following cases:

1. When employee’s scale changes
2. When employee’s designation changes
3. When employee’s role changes (primary/secondary/tertiary)
4. When employee’s location changes
5. When employee’s organization name changes
6. When Rep A’s scale changes
7. When Rep A’s designation changes
8. When Rep A’s role changes (primary/secondary/tertiary)
9. When Rep A’s location changes
10. When Rep A’s organization name changes
11. When the rule logic of “Rep A allocator” tool changes
12. When the employee/Rep A gets transferred
13. In case of branches, when there’s a new officer/clerk added or an existing officer/clerk is removed from the organization
14. In case of non-branches, when there’s a new officer/clerk added or an existing officer/clerk is removed from the same department of the organization
15. When manually allocated Rep A is same as system allocated Rep A



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, Organisation 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

Incase 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.
 - a. Name
 - b. Scale
 - c. Designation
 - d. Role
 - e. Organisation
 - f. Email and mobile no.
 - g. Rep A
 - h. Cohort id

Rep A screens:

1. 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"



2. 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”
3. 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
4. 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”
5. 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)
6. 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 bulk/multi approve 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 detailsOn 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 raisedAbove information should be made available for download in the initial screen of "Org module changes"

Role clarity module

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, Rep A has the option to select the KRAs from list of KRAs instead of selecting a role from list of roles. However, these roles or category of employees are specifically earmarked and this option should be provided only for those employees. System should have the flexibility to choose between role based allocation or selection of KRAs or a combination of both.
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):



- i. Employees with roles assigned – no. of employees
- ii. Employee with roles to be assigned (incl. employee triggered requests – should be differentiated from normal employees) – no. of employees
- iii. Employee with roles assigned but requested for change – no. of employees
- iv. Employees with roles assigned pending acceptance – no. of employees
- v. 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. An illustrative screen is provided below for reference

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
 - o Secondary role
 - o 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. List of roles is provided in Annexure I (shown at end of module).

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 – II” (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 atleast 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 auto 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. The weight allocation algorithm is provided in "Role Allocation – Annexure – II" (shown at end of module). Please note that in future, Rep A has the option to chose 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 timebeing 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 finalise the role allocation & targets for the employee. However, incase 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 button option that 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.
 - 1) 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.
 - 2) If employee choses 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

3) 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 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.

1) 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

2) 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

If Rep A doesn’t revert on employee’s comments with in 2 working days from the date of notification of appeal from employee, then Rev A notification will be generated with nil comments from RA

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 escalation mails and 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
- 1) Details of employee (employee name, id, scale, designation, location),
 - 2) Details of Rep A (employee name, id, scale, role, designation and location)
 - 3) New roles, KRAs, weights and Targets allocated
 - 4) 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 measurable 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

- A. 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
- B. Any change in reporting structure that Rep A believes to be made should follow the work flow as described in “Org Module”



C. 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
 - a. Request for role modification i.e allocating a new role or re-allocating roles for the given employee
 - b. If the employee is not yet allocated a role, he/she should be able to activate a trigger for non-allocation of role
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
 - a. 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.
 - b. In case employee chooses to appeal, he should be provided a field to input his reasons for the appeal
 - c. Employee should be able to view the status of his appeal until it is resolved in following stages
 - i. Pending with Rep A for comments
 - ii. 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 days

Below 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:
 - a. Name, id, scale and designation of the employee
 - b. Name, id, scale and designation of the Rep A
 - c. No. of times role has been re-allocated for the employee
 - d. Comments made by Rep A for re-allocation
 - e. 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, Rev 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:

- a. No. of employees assigned roles for his/her region/zone/bank as a whole
- b. No. of employees yet to be assigned roles
- c. No. of service requests from employees pending for resolution
- d. 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:
 - a. Employee name, id and scale
 - b. Alpha, region and zone
 - c. Rep A of the employee
 - d. Date of service request/trigger/appeal (if applicable)
 - e. 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 an excel. On clicking on the employee id in option (e), a pop-up should open where HR will be shown following details

- A. Nature of service request or appeal
 - B. Date of service request or appeal
 - C. Comments provided by employee, if any, for raising the request or appeal
 - D. A trigger button for sending out notification mail and SMS to employee who has to take action on the service request or appeal
 - E. 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 be able to generate a bulk notification mail (with option of selecting employees for whom notification mail is to be sent) to Rep As of all employees listed in “No. of employees yet to be assigned roles”. A button should be provided to this extent on top of this list. On clicking the button, a bulk notification mail and SMS will be generated to Rep As of all selected employees requesting for completing role allocation for a given employee name and ID.
 5. 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:
 - a. Employee id & name
 - b. Rep A id & name
 - c. Alpha
 - d. Region
 - e. Zone
 - f. Primary Role allocated to employee with date
 - g. Secondary Role allocated to employee with date
 - h. Tertiary Role allocated to employee with date



- i. 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.

PERFORMANCE DASHBOARD

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. After initial log in, employee will see following information on the landing page of PMS screen w.r.t performance dashboard in following manner. Please note that screenshots below are just indicative and were made for Branch Managers. Every other employee will be able to see his/her information in similar manner but for different parameters. Key information such as employee details, overall performance score, trend over last month, score for each KRA, relative performance etc. will be displayed.
2. 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.
3. Clicking any KRA provides key details such as target, actuals, % achievement, target for next month, relative position in the cohort / group etc.
4. 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.

PERFORMANCE HISTORY

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. A drop down menu should be provided for the employee to select any historical month (upto last 3 full financial years). On employee selecting any such historical month, 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
 - i. By scale
 - ii. By designation/role/organization
 - iii. By Rep A (employee code based)
 - iv. By period (monthly level)
 - v. By KRA
 - vi. By Cohort
 - vii. 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

EMPLOYEE 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 incase 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 I – “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.

Performance Appraisal

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 with in 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, 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 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 the discretionary KRAs i.e. for eg. on clicking the scoring for discretionary parameters, Rep A will be given five options on each of the discretionary parameters where on selecting the option, score for that parameter is autopopulated. Rep A should be shown score for each of the parameter even before selection.

If the difference between the achievement of discretionary score % and achievement of non-discretionary score % is +/-20% points, then Rep A has 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

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 autopopulated. 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, scores will not be frozen and an option will be provided to Rep A to either accept or appeal the score:

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”

In both the above cases, if Rep A accepts the modification, then scores will be frozen. In case the Rep A chooses to appeal, on clicking the “appeal” button, Rep A should be provided an option to re-do the discretionary scoring – however, the previous scores are still to be stored and not be replaced. Further, a comments box (for each of the discretionary KRA and an overall comments box for commenting on overall performance or reason for appeal) should be provided for Rep A to fill in the reason for appeal

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 chose 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) 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 RepA changes during a particular role, the officer who was the RepA 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 (incase 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 (incase of non-measurable roles)
 - vii. With HR(incase 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 should be made possible)
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”. 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 freezed 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 paramters

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 with in 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 cutoff. On this screen, central HR can upload the excel sheet on what are the cutoffs 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 cutoffs 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 incase 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 mid term 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 mid 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 “midterm appraisal” page
3. In the “mid 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 Vertical Head (incase 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.
6. Central HR team should be provided with a screen to upload the scores of non-measurable employees after completion of cohort chair meetings.

HR ADMIN

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 access to HR module should be provided separately instead of normal employee log in. HR employee log in for managing own PMS should be different from HR logging into to 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. On initial log in page, HR should be shown a list of service requests that requires HR interventions. Following details of the service requests should be displayed:
 - a. Service request no.
 - b. Date of request
 - c. Name, scale, id, designation and location (incl. region and zone) of the employee raising the service request
 - d. Nature of request (change in personal details of employees or reportees, change in reporting authority, role modification request etc)
 - e. Time elapsed since request



5. 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
6. 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.

7. In addition to the above module, HR should be provided with “Notification” module. The primary purpose of the module is to allow HR to send bulk or targeted notifications to employees through PMS system, email and SMS about events or pending actions.
8. On clicking the “Notification” module, HR should be displayed screens that has following details:
 - a. A free text box for inputting the message which HR wants to convey – character count should be displayed as HR inputs any message in this field
 - b. “Attachment” field if HR wants to provide an attachment along with the message. This attachment can be in the form of a excel, word, pdf, or any picture format.
 - c. Details of recipients. This can be done in two ways:
 - i. HR selects a particular zone or region or office and message is relayed to everybody in the respective zone/region/office. HR should have the capability to select multiple zones/regions/offices. This list should be provided either in the form of a drop down or auto-populate as HR enters characters. Please note the text field should have “predictive text” capabilities and “spell check” capability
 - ii. Second option is where HR uploads the recipients list in the form of employee Id or Alpha codes or a combination of both through an excel sheet
 - d. A “save” button should be provided for HR to save the message and revisit it later
 - e. A “submit” button should be provided which HR can click on inputting the text message and intended recipients

9. On HR clicking the submit button, a pop up will be displayed which says that the message is at approval stage. In the back end, the form flows to “checker” for approving the message content and relay. A notification mail and message will be forwarded to “checker” HR in this regard detailing the message content and a brief overview of intended recipients in terms of zone, region, and alpha. Notification mail should contain a link that directs the “Checker” HR to approval screens.
10. On clicking the link on the notification mail, “checker” HR will be directed to approval screen after appropriate authorizations. On this screen, following information should be displayed:
 - a. Message content
 - b. Attachments
 - c. Intended recipients (zone/region/alpha/list of recipients uploaded in form of excel)
 - d. Approve button for approving the message and recipients
 - e. Modify button for changing the message content or intended recipients incl. upload of new list
 - f. Reject button for deleting the request
 - g. Details of HR person raising the request (name, employee id, designation and scale)
11. On clicking approve button, message will be relayed to all intended recipients. A dual confirmation is necessary in the form of a pop-up stating that HR is about to relay the information to all and is he/she sure about it. On dual confirmation, all the intended recipients will get a notification on the PMS system, through mail and on SMS about the message. In parallel, the “maker” HR will get a notification that his/her message is approved and has been relayed to intended recipients
12. On clicking modify button, Checker HR will be directed to a new screen where he will be able to modify the message and intended recipients incl. upload of new recipients list and attachment documents. Checker HR should be capable of saving the screens midway and revisit them later. On being satisfied with the changes, HR should be able to submit and approve the message relay. On clicking “submit and approve” button and after dual confirmation process, all the intended recipients will get a notification on the PMS system, through mail and on SMS about the message. In parallel, the “maker” HR will get a notification that his/her message is modified and approved and has been relayed to intended recipients
13. On clicking reject button, Checker HR will be directed to a new screen where he/she will provide reasons for rejection in a free text field. A “Reject & submit” should be provided in this screen. On clicking the button, the maker HR will receive a notification mail and sms stating that his request has been rejected along with reasons for rejection.
14. All messages sent through this module should be stored in the backend including the recipient details, attachments, message content, details of HR raising and approving the request.



APPLICATION ADMIN

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 with out 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
10. If employee clicks approve button, service request is closed. If he/she clicks “re-open”, employee should provide comments for re-opening the service request in the free text field and attach supporting documents if any. No re-opening is allowed without providing comments. On providing comments and attaching documents, employee should be able re-submit the service request. Service request number shall remain same. If employee does not click approve or re-open the request within 5 working days, then a reminder mail should go to the employee on the 4th working day regarding closure or re-opening of the ticket and at the end of 5th day,

request will be automatically closed with no option of re-opening.

11. System admin will receive a notification mail stating that the service request has been re-opened. On clicking the link in notification mail, system admin will be taken to the re-opened service request screens which should show 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. System admin comments for closing the service request
 - g. Employee comments for re-opening the request

After resolving the issue, System admin will close the request and process will continue until employee approves the closure of 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 displayed
The 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.

HELP CENTER

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
9. 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.

Part II: Development, implementation and support of PHP based web applications:

- a. **Target setting process:** The bank intends to implement & maintain Target Setting Tool for running the annual target setting exercise. The tool should support setting of targets / budget at bank level and cascading of the same to various levels (e.g. bank to zone, zone to region, region to branch, account level etc.). Target Setting Tool should be able to set targets on various parameters, run validations, integrate workflows, read data from various sources and cascade the final targets till branch officer level within set timelines. The tool should be a web application, which can be accessed by various officers across locations. The tool should have appropriate role accesses to incorporate workflows and checks & balances. A detailed list of activities to be performed by the target setting tool is provided below:

Functional requirement	Description
Periodic target setting at different hierarchy levels	Application should be able to support target setting on yearly/half yearly/quarterly/monthly basis for whole bank, vertical, zone, region, branch, officer or account level
Target setting on more than one parameter	Application should be able to support target setting on more than one parameter for different units/officers i.e. target setting can be done on Current account deposits, saving account deposits, advances, profitability etc. (list is only indicative not exhaustive)

Ability to add/modify/delete target parameters	Application should be able to support addition/modification/deletion of target parameters so that it is flexible enough to suit business needs.
Ability to add/modify/delete target setting logic	Application should be able to support addition/modification/deletion of target setting logic. For instance, target setting for "Total Deposits" can be changed from "sum of Current deposits, savings deposits, term deposits" to "sum of current deposits, savings deposits, retail term deposits and other term deposits". Application should be able to support these changes whenever they arise
Ability to upload excel files for targets on target parameters	Application should be able to support upload of excel files (instead of web inputs) from which final targets are read and are automatically fed in relevant fields of target setting.
Flexibility in data input for targets	Application should be able to support target setting both in "absolute number" form and "% growth" form. For instance, target setting for "Total deposits" can be either of two ways 1. Total deposits to be atleast Rs 1000 crs at the end of the year 2. Total deposits to grow by 25% from the end of last year figure of Rs 800 crs Application should be able to support target setting in both manners. Further, on inputting target in one way, other target should be autopopulated. For instance, incase of above example, if planning officer inputs year end number to be Rs 1000 crs, application should be able to auto-calculate and show that this implies a 25% growth from last year. Similarly, if planning officer inputs 25% growth over last year, application should autocalculate and show that this translates to Rs 1000 crs number at the end of the year
Target setting on different bases	Application should be able to support target setting on different bases. For instance, one of the target setting parameters is "% growth in average advances". While giving target for FY2019, some planning officers may set target setting in any of the two ways: 1. % growth in average advances over full year average of FY2018 2. % growth in average advances over Q4 average of FY2018 Application should be able to support target setting in any of the manner above



Target setting on re-adjusted base	Application should be able to support target setting on a re-adjusted base. For instance, one of the target setting parameters is "% growth in average advances". While giving target for FY2019, some planning officers may want to set targets on a re-adjusted base because of some extra-ordinary factors. If target setting is done on full year or Q4 average in these cases, growth % may be negative. In such cases, application should allow planning officer to input a re-adjusted base on which he/she is setting target so that growth % is positive
Parallel target cascading by verticals	Application should be able to support target setting by verticals (incl. central planning) at zonal or regional level for various parameters. For instance, bank has 13 zones and 75 regions. Further, there are business verticals which have overview over various parameters. Application should be able to support scenarios where vertical head may set targets for their respective parameters at zonal or regional level
Target cascading to branches/regions/zones	Application should support target setting by zones for regions, and regions for branches. Further, such target setting should be on monthly/quarterly/yearly basis
Compilation of targets	Application should be able to compile targets set by various verticals and inputs provided by central planning and provide a consolidated view targets at bank level. Further, application should be able to allow the users to drill down upto branch level for any particular target parameter
Codified target splitting between months/quarters	For splitting of targets among months or quarter, some planning officers might follow manual entry for taking care of seasonality, and some planning officers may provide a formula for a particular parameter on how the yearly targets are to be split among quarters and months. For instance, incase of "% growth of average advances", planning officers may input a formula stating that 15% of the the growth comes in 1st quarter, 45% of growth comes by end of 2nd quarter, 70% of growth comes by end of 3rd quarter, and 100% of growth by end of 4th quarter. On inputting such ratio of split, application should be able to split full year target among various quarters in the given ratio. Further, application should support different split ratio for different parameters. Also, planning officer should be able to change such split targets for any particular branch or particular parameter



Ability to make projections - Two level target setting	Application should be able to support make projections and set targets basis the projections made. For instance, target setting for FY2019 (i.e. Apr'18 to Mar'19) starts in Jan'18. Given the start date, planning officers are required to project the Q4 number for FY2018, and then project the full year number for FY2019. Application should be able to support this two step target setting process
Integration of historical data	Application should be able to support integration of historical data (atleast last 4 years) for a given target parameter from data warehouse. Further, application should also be able to support manual uploads of historical data incase of exigencies. Historical data can be at bank, vertical, zonal, regional or branch level
Integration of market data	Application should be able to support integration of market data (atleast last 3 years) for a given target parameter in the form of excel uploads. Market data can be at bank, vertical, zonal, regional, district or branch level from multiple sources
Run validations in the form of flags/errors	Application should be able to run multiple checks and validations on targets set for various parameters and display errors/flags. Some of these checks/validations are provided below: 1. Sum of account level targets should be equal to officer level targets 2. Sum of officer level targets should be equal to branch/operating unit level targets 3. Sum of branch/other operating unit level targets for a given parameter should be equal to Region level targets 4. Sum of region/other operating unit level targets for a given parameter should be equal to Zone level targets 5. Sum of zone/other operating unit level targets for a given parameter should be equal to vertical/bank level targets 6. Minimum growth for any particular parameter to be a function on historical and market growth rates 7. Maximum growth for any particular parameter to be a function on historical and market growth rates 8. Sequential growth in monthly or quarterly targets 9. Main parameter target should be equal to sum of sub component targets (e.g.: Total deposits targets should be equal to sum of current, savings and term deposits targets) Please note above list is not exhaustive
Ability to revise targets	Application should be able to support revision of targets according to pre-defined rules and processes. These rules and workflows should be in-built in the tool



Change history	Application should be able to show "change history" in terms of target revision. Application should support display/download of such previous targets
Roll up of component level targets	Application should be able to support roll up of component level targets and not allow target setting at certain main components. For instance, total deposits is summation of Current, savings and term deposits. Planning officer can set targets for current, savings and term deposits. On setting such targets, total deposits number should be autopopulated. If the planning officer sets targets for total deposits, then last sub component target should be auto-populated i.e. term deposits in this case.
Data input for assumptions	Application should be able to support data input for assumptions for arriving at some target numbers. For instance, in case of operating profit, planning officers have to make assumptions on yields, cost of funds, HO FTP interest rates, growth rates in expenses etc. Further, these assumptions can be made at zonal, regional or branch level for various parameters
Full flow of P&L	Basis the data input provided, targets set and assumptions provided, application should be able to build full profit and loss account and arrive at operating profit. Planning officers should be able to change any of the non-target parameters in the final output and the operating profit should be accordingly updated
Flexibility to add/modify/delete operating units	Application should support addition of new operating units in the form a zone or region or branch or any other operating unit or an officer or an account. Similarly, it should also allow for change in mapping of branch to region to zone. Further, it should allow for deletion of any branch/operating unit
Centralized access for release of branch level targets	Application should support centralized release of targets once targets are set in zone, region or branch level. For instance, on final targets for zone, central planning should be able to release targets to all zones in one go. While iterations can happen on targets, only central planning is empowered to release and communicate final targets to verticals/zones/regions/branches/other operating units
Flexibility to have dual mapping of targets	Some targets require dual mapping between different units/officers. For instance, % growth in mortgage loans can be given to both branches and other operating units such as Specialized Mortgage Stores (SMS). While arriving at the region's total growth target, application should be able to eliminate duplication

To-do or reminders	Application should be able to generate to-do reminder mails to concerned verticals/planning officers for completion of target setting. Further, these mails should be automated based on a pre-defined events and escalation matrix.
Notification mails	Application should be able to generate notification mails to various units incase of any change or modification in targets. Similarly, such notifications should be made available even at the time of initial target setting
Role based access	Application should be able to support role based access. For instance, while central planning can set and see targets for any operating unit and for any parameter, Vertical heads will be able to see targets only for their parameters until branch level. Similarly, while zone can set and see targets for any branch in its scope, a region will be able to set and see targets only for branches in its scope.
Ability to support workflows	Application should support work flows where targets move from vertical to central planning to zone to region to branches. Final targets at any level are to be validated by central planning with sub-validation approval by other units. For instance, branch level targets will be set by regions, validated by zones and finally validated by Central planning. These workflows (along with other workflows incl. initiations, revisions) have to be built into application
MIS	Application should be able to download multiple MIS reports such as summary of all (or selected) targets at bank/vertical/zone/region/branch level, parameter's (or selected parameters') targets at bank/vertical/zone/region/branch level
Scenario analysis	Application should be able to develop scenario analysis basis changing assumptions on different parameters.
Ability to build dashboards	Application should be able to support various dashboards (tabular and visual form) w.r.t completion status, stage of planning process etc.

- b. Performance dashboards and analytics for Corporate Banking:** The Bank intends to implement & maintain Tool for performance evaluation of corporate banking dept. The tool should support performance review of corporate banking vertical and drill down view to various levels (e.g. corporate banking vertical to corporate branches, branches to relationship managers etc.). The tool should be able to show graphical performance dashboards and deep-dive view on each of the KRAs. It should be able to run validations, integrate workflows and read data from various sources.



The tool should be a web application, which can be accessed by various officers across locations. The tool should have appropriate role accesses to incorporate workflows and checks & balances. A detailed list of activities to be performed by the corporate banking performance evaluation tool is provided below:

Requirement	Description
Account level target setting/Integration with target setting tool	The tool should be able to provide account level, RM level and branch level target data on various parameters to Target setting tool (web-based tool used by the bank for all targets set in the bank). The tool needs to be closely integrated with the Target Setting tool.
Integration of Corporate and retail INSIGHT tools	The tool should be able to provide account level, RM level and branch level target data on various parameters to Retail INSIGHT Tool (web-based tool used for retail banking). Further, the tool should be able to read data target and actuals data for various parameters and for various operating units from Retail Insight tool. The tool should be able to produce bank level picture of financial performance by combining the data with in the tool and data from Retail INSIGHT tool. The tool should be able to project appropriate dashboards to the top management on the overall financial performance and allow users to drill down upto account level.
Ability to read actuals from DWH or excels or other corporate banking applications in the bank	The CFS INSIGHT tool requires it to compare the RM's performance on targets over actuals. This requires the tool to read data from various sources such as excels, third party applications/apps, and Data warehouse. The tool should be able to read it at account level for various parameters
Performance dashboards	Tool should be able to generate appropriate dashboards for various users. These dashboards should be a combination of visualizations, tables and pure text/numbers.
Monthly performance score	Tool should show each employee KRA-wise monthly performance score on a single page.
Score employees performance on various KRAs	Every RM in the bank will be evaluated on various parameters (sometimes at account level). All these parameters have targets. Further, performance against these targets can be measured by reading the actuals data directly from data warehouse, or excels, or third party applications, or direct data input. On such reading of actuals, INSIGHT tool should be able to score the performance of the employee over max allowable marks for that KRA on a predetermined scoring criteria.



Drill down branch level achievement to RM level and account level	The tool should be able to drill down the branch performance on each of the KRA to RM level and then further to account level. This drill down should be available both on targets and actuals. The drill down should show the % achievement levels of targets, and target vs actuals gap. Please note that drill down should be not only on KRA parameters. For every KRA, there will be some additional parameters which the tool should be able to show, on drill down, actual performance at branch level, RM level and account level.
Focus areas for each KRA	Tool must support display of tool-tips and focus areas - these will be identified for each KRA based on pre-defined logic
Ranking of branches/employees	The tool should be able to calculate the overall score achieved by each of the RMs and branches and rank them. Further, the tool should also be able to rank the performance of the employee or branch on a particular KRA. The tool should also have flexibility to calculate percentile for each individuals based on the pre-defined group of that individual
Tagging of RMs to accounts	Tool should provide an option for tagging accounts to RMs. This option should not only allow for addition, but also modification and deletion of tagging.
Account management	Tool should provide an option for adding/deleting/modifying accounts. Tool should have adequate checks in place that wont allow duplication of accounts or addition of accounts with out RM tagging.
Role access	Tool should have appropriate role access rights. Some of the examples are 1) branch manager should be able to see only his/her branch's performance but not other branch's. 2) RM should be able to see only his/her team's performance but not other team's performance etc. 3) Central team at BCC should be able to see performance of all branches and its RMs and accounts. 4) Change in RM to account tagging to be done only at central level. 5) Change in accounts to be done only at central level
Workflows management	Tool should be capable of adopting various workflows regarding Setting of targets, approval of the same, change requests etc.
MIS/Reports	Tool should generate various MIS reports at pre-defined intervals. The nature of these reports and formats of these reports will be discussed in detail on on-boarding. Examples of some reports would be branch wise score and achievement of targets, employee wise score and achievement of targets, gap analysis of target achievement etc.



Frequency	Tool should be able to do the performance tracking on daily basis
Integration with retail branch performance evaluation tool for unified bank dashboard	Corporate banking tool needs to be integrated with the retail branch performance evaluation tool (already developed). This will be used by top management to review the performance of bank as a whole. There will be a dashboard for overall bank, with further drill-downs to corporate banking screens / retail banking screens.

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

- a) Front-end portal and user interface
- b) Performance dashboards
- c) Reporting and analytics for a detailed deep-dive into individual KRAs
- d) Interim feedback discussions
- e) Year-end appraisal process
- f) Role modification/closures
- g) Employee recognition
- h) Event based SMS/MIS/Alerts
- i) Mobility
- j) HR administration portal

3. Training:

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

- a. Three 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 3 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 provide necessary requirement of infrastructure (Servers / OS / Database / Middleware / integration 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. 3 years). Some of the basic parameters (indicative) for sizing are given herein under.

- Number of users → 25,000
- Projected Growth per year - 7%
- System Uptime per month – 99.5%
- Expected PMS application response time:
- Static Page loading like login page - < 2 Seconds
- Executing search on the PMS 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 Data replication should happen from Primary site to DR site on real time to keep them in sync.

- Recovery Time Objective (RTO) – 120 minutes
- Recovery Point Objective (RPO) – 15 minutes

Vendor is also required to conduct at least one DR drill in a quarter, if required by Bank.

5. Onsite Support Charges (for SAP Success Factors)

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). 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. Onsite Support Charges (for PHP Development and Support)

The vendor needs to Develop Charges Target setting tool & Performance evaluation tool for Corporate Banking as per the scope mentioned in Annexure 11. Moreover vendor need to support the insight /GEMS tool as per the scope mentioned in Annexure 11. Onsite Support for the PHP development will be from 10AM to 6PM and charges to be provided based on the manpower efforts in 1 shifts per day. 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.

7. Helpdesk Requirement

- i. The vendor should have an online support facility through phone, email and SMS alerts by L1, L2 and L3 onsite/remote staff 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.

8. Performance Requirements:

- Average support call back time - 60 minutes
- Average Problem Response time – 240 minutes
- Number of concurrent user – at least 20,000
- Response time:
 - ✓ Static page- maximum 2Sec.
 - ✓ Form validation from back end - maximum 5 sec

9. 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



Annexure 12 - 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.

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
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



Uptime Percentage	Penalty Details
	the stipulated uptime

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 13 -Performance Guarantee

BANK GUARANTEE

(FORMAT OF PERFORMANCE BANK GUARANTEE)

To

The 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 14-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 15 – Commercial Bid Format**

S. No	Cost head	OTC (One Time Cost)	Year 1 AMT	Year 2 AMT	Year 3 AMT	Year 4 AMT	Year 5 AMT	Total AMT	GST (%)	GST AMT
1	Implementation cost	0.00	X	X	X	X	X	0.00	0.00	0.00
2	Integration charges*	0.00	X	X	X	X	X	0.00	0.00	0.00
3	Onsite Support Charges**	X	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Optional Functionalities (PHP)***										
1.1	Development Target setting tools & Performance evaluation tool for Corporate Banking#	0.00	X	X	X	X	X	0.00	0.00	0.00
1.2	Support Charges for insight /GEMS tool##	X	X	0.00	0.00	0.00	0.00	0.00	0.00	0.00
1.3	Onsite Support Charges (for 1.1 & 1.2)###	X	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Total Cost of Ownership (TCO)								0.00	X	X

Note

- 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.
- 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.
- 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.
- All Deliverables to be supplied as per RFP requirements provided in the tender
- 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) Annual Technical Support is for only customizations carried out as part of implementation cost point no. 4 above.
- j) *One time Charges towards integration of Performance Management Solution should include integration with core Human Resources management software (legacy HRMS) solution – Oracle e-business suite (EBS), external email server, bank's MDM (mobile device management) solution as per by Bank's requirement.
- k) ** 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)
- l) ***The vendor must provide the cost for each of the optional functionalities (mentioned as 1.1 – 1.3) (The quoted price should be valid for the period of 5 years from the date of placing of purchase order). These prices would be considered for the calculation of TCO (Total Cost of Ownership). The Bank has discretion to avail any of these optional functionalities as per Bank's requirement during the contract period. Payment for these functionalities will be made on the basis of these functionalities implemented.
- m)# The vendor as part of the commercial bid submission needs to provide Development Charges Target setting tool & Performance evaluation tool for Corporate Banking as per the scope mentioned in Annexure 11.
- n) ##The vendor as part of the commercial bid submission needs to provide Support Charges for insight /GEMS tool as per the scope mentioned in Annexure 11.
- o) ### Onsite Support for the line item 1.1 & 1.2 will be from 10AM to 6PM and charges to be provided based on the manpower efforts in 1 shift per day. The Bank has discretion to avail onsite support services and number of support engineers at person day cost given.

Authorized Signatory

Name:

Designation:

Vendor's Corporate Name



Annexure 16 – Masked Commercial Bid Format

S. No	Cost head	OTC (One Time Cost)	Year 1 AMT	Year 2 AMT	Year 3 AMT	Year 4 AMT	Year 5 AMT	Total AMT	GST (%)	GST AMT
1	Implementation cost	0.00	X	X	X	X	X	0.00	0.00	0.00
2	Integration charges*	0.00	X	X	X	X	X	0.00	0.00	0.00
3	Onsite Support Charges**	X	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Optional Functionalities (PHP)***										
1.1	Development Target setting tools & Performance evaluation tool for Corporate Banking#	0.00	X	X	X	X	X	0.00	0.00	0.00
1.2	Support Charges for insight /GEMS tool##	X	X	0.00	0.00	0.00	0.00	0.00	0.00	0.00
1.3	Onsite Support Charges (for 1.1 & 1.2)###	X	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Total Cost of Ownership (TCO)								0.00	X	X

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) Annual Technical Support is for only customizations carried out as part of implementation cost point no. 4 above.
- j) *One time Charges towards integration of Performance Management Solution should include integration with core Human Resources management software (legacy HRMS) solution – Oracle e-business suite (EBS), external email server, bank's MDM (mobile device management) solution as per by Bank's requirement.
- k) ** 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)
- l) ***The vendor must provide the cost for each of the optional functionalities (mentioned as 1.1 – 1.3) (The quoted price should be valid for the period of 5 years from the date of placing of purchase order). These prices would be considered for the calculation of TCO (Total Cost of Ownership). The Bank has discretion to avail any of these optional functionalities as per Bank's requirement during the contract period. Payment for these functionalities will be made on the basis of these functionalities implemented.
- m) # The vendor as part of the commercial bid submission needs to provide Development Charges Target setting tool & Performance evaluation tool for Corporate Banking as per the scope mentioned in Annexure 11.
- n) ##The vendor as part of the commercial bid submission needs to provide Support Charges for insight /GEMS tool as per the scope mentioned in Annexure 11.
- o) ### Onsite Support for the line item 1.1 & 1.2 will be from 10AM to 6PM and charges to be provided based on the manpower efforts in 1 shift per day. The Bank has discretion to avail onsite support services and number of support engineers at person day cost given.

Authorized Signatory

Name:

Designation:

Vendor's Corporate Name



Annexure 17 – 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 5 years or the complete conclusion of the contractual obligations to the complete satisfaction of both the BIDDER and the BUYER, including warranty period, whichever is later.
- 4.3 In case of the successful BIDDER a clause would also be incorporated in the Article pertaining to Performance Bond in the Purchase Contract that the provisions of Sanctions for Violation shall be applicable for forfeiture of Performance Bond in case of a decision by the BUYER to forfeit the same without assigning any reason for imposing sanction for violation of this Pact.
- 4.4 No interest shall be payable by the BUYER to the BIDDER on Earnest Money/Security Deposit for the period of its currency.

5 Sanctions for Violations

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

1. Bidder should cover details of the proposed methodology for providing services relating to Design and Implementation of Performance Management System. 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 19 – 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 Performance Management Systems at commercial banks	Implementations in the last 3 years:												
		<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										



		<i>Implementations done prior to last 3 years:</i>		
		Name of the customer	Total no. of users	Module deployed
Please provide details for each past implementation in <u><i>Annexure 20</i></u>				

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 20 – Details of past implementations

Please provide details of prior experience in design, deployment and implementation of Performance Management System 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 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 21 – 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.	<p>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.</p>	
2.	<p>Data and Information Security: SP to ensure following :</p> <p>Data integrity management.</p> <p>To provide full disclosure regarding security practices and procedures as stated in their SLAs</p> <p>Specific identification of all controls used during the data lifecycle.</p> <p>To maintain a fundamental philosophy of knowing where Bank’s data (Logical /Physical)</p> <p>To determine who should access the data, what their rights and privileges are, and under what</p>	



	<p>conditions these access rights are provided and 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</p>	



	<p>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.	Integration with external applications:	



	<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 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 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>	